

CALIFORNIA ENERGY COMMISSION

1516 NINTH STREET
SACRAMENTO, CA 95814-5512
www.energy.ca.gov



PROGRAM OPPORTUNITY NOTICE

2005 STATE ENERGY PROGRAM SPECIAL PROJECTS

The U.S. Department of Energy's (DOE) National Energy Technology Laboratory (NETL) has released the Master Funding Opportunity (DE-PS26-05NT42396) and Program Category Sub-Opportunities (DE-PS26-05NT42396-01A - 11) entitled **2005 State Energy Program (SEP) Special Projects**. The goals of the special projects activities are to directly involve States in activities to accelerate deployment of energy efficiency and renewable energy technologies; to facilitate the commercialization of emerging and underutilized technologies; and to increase the responsiveness of federally-funded technology development efforts to the needs of the marketplace.

Although there are 17 program categories in the federal Master Funding Opportunity, the California Energy Commission (Commission) will **only** be accepting proposals in the Clean Cities category.

Clean Cities – AFV Incremental Costs: DE-PS26-05NT42396-01A

Clean Cities – Refueling Infrastructure: DE-PS26-05NT42396-01B

Clean Cities – School Buses: DE-PS26-05NT42396-01C

Clean Cities – Coalition Support: DE-PS26-05NT42396-01D

Clean Cities – Idle Reduction Technologies: DE-PS26-05NT42396-01E

Clean Cities – Heavy Duty Hybrid Electric: DE-PS26-05NT42396-01F

**ALL PROPOSALS MUST BE RECEIVED BY THE
GRANTS AND LOANS OFFICE ON OR BEFORE
MARCH 28, 2005, 4 p.m.**

No proposal will be accepted after 4 p.m. E-mail and fax transmissions WILL NOT be accepted, in whole or in part, under any circumstances.

Proposals must be addressed or delivered to:

**California Energy Commission
Grants and Loans Office
2005 SEP SPECIAL PROJECTS PROPOSAL
1516 Ninth Street, MS-1
Sacramento, CA 95814**

For a copy of the Master Funding Opportunity (MFO) (DE-PS26-05NT42396) and selected Program Category Sub-opportunity documents, go to the DOE's Industry Interactive Procurement System (IIPS) web site at <http://e-center.doe.gov>. For your convenience, a copy the MFO and related documents are available in Word format and can be downloaded from the Commission's web site at <http://www.energy.ca.gov/contracts>.

Please review the MFO and appropriate Program Category Sub-opportunities documents **thoroughly**. The Master Funding Opportunity provides complete details on the administrative requirements and application instructions. The Program Category Sub-opportunity documents provide specific program information, evaluation criteria, and any special requirements/instructions to be addressed in your proposal. DOE/NETL requires that **proposals must be in MS Word or Excel formats only**. Documents not created in MS Word or Excel must be converted to MS Word or Excel in order to be submitted. **Compressed, zipped, locked** or **"read-only"** files or paper copies will not be accepted.

A complete proposal package must adhere to and will include the following:

1. Proposal is submitted within the appropriate Program Category.
2. Each section of the Proposal is saved as a separate MS Word or Excel file using DOE/NETL's mandatory file name. (See Section IV.D. of MFO.)
3. All information required by DOE/NETL's Master Funding Opportunity announcement, the appropriate Sub-category Opportunity Announcement, and this PON are included in this proposal.
4. Applicant's proposed cost share meets or exceeds the requirements for the appropriate Program Category.
5. Clean Cities Certification Checklist signed by your Clean Cities Coalition Coordinator. This is a Commission form available at <http://www.energy.ca.gov/contracts>.
6. Proposal includes one original signed copy, one additional copy, and an electronic copy on disk or **rewritable CD** (no zipped, compressed, locked or "read-only" files will be accepted), saved in **MS Word or Excel**.
7. Proposals must be delivered to the above address and received on or before the above-referenced due date and time.

Your project start date cannot be **prior to September 1, 2005**. However, because we must have the DOE/NETL award document and Commission Business Meeting approval prior to the start date, we suggest **October 1, 2005 or later**, for the project start date.

To enter into an agreement with the California Energy Commission, entities must be registered with the California Secretary of State and in good standing. For more

information, please contact the California Secretary of State at <http://www.ss.ca.gov> or call (916) 653-6814.

Proposals that do not adhere to these requirements may not be processed or submitted to DOE/NETL.

Amendments to the Solicitation

Should any amendments to this solicitation be issued, they will be posed in IIPS at <http://e-center.doe.gov> in the folder next to the solicitation number. All applicants are responsible for periodically checking the DOE IIPS website and complying with all amendments to this solicitation.

To speak with Commission staff, please contact:

Peter Ward
(916) 654-4639
pward@energy.state.ca.us*

Clean Cities Program and
technical questions

Karen Shimada
(916) 654-4455
kshimada@energy.state.ca.us*

Administrative questions

February 24, 2005

*Due to the many available viruses, please reference "2005 State Energy Program Special Projects" in the subject line of your email.

FUNDING OPPORTUNITY ANNOUNCEMENT



State Energy Program (SEP) Special Projects DE-PS26-05NT42396

CFDA Number: 81.119 State Energy Program Special Projects

CONTACT: Kelly A. McDonald, Contract Specialist

**ISSUING OFFICE: U.S. DEPARTMENT OF ENERGY
National Energy Technology Laboratory
3610 Collins Ferry Road, P. O. Box 880
Morgantown, WV 26507-0880**

ISSUE DATE: February 18, 2005

DUE DATE: See Section IV and Appendix C

Information regarding this funding opportunity is available on the Department of Energy, Industry Interactive Procurement System (IIPS) web site at: <http://e-center.doe.gov>

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SECTION I - FUNDING OPPORTUNITY DESCRIPTION

A. SUMMARY

The Department of Energy (DOE), National Energy Technology Laboratory (NETL) is seeking applications on behalf of the DOE Office of Energy Efficiency and Renewable Energy (EERE), for a variety of Special Projects under the State Energy Program (SEP) in accordance with 10 CFR part 420. DOE is inviting States to submit applications under the Program Category Sub-opportunities outlined in this master funding opportunity to implement specific DOE EERE deployment activities and initiatives. Funding of approximately \$14,700,000 will be available under this opportunity in fiscal year 2005. Projects may be proposed with performance periods of one year to a maximum of three years. The estimated amount of DOE funding for individual awards is set forth in Appendix C. The cost sharing requirements are outlined in each Program Category.

B. BACKGROUND INFORMATION

Through financial assistance awards (grants or cooperative agreements) DOE intends to provide support to States under provisions of the SEP as authorized under Public Laws (PL) 94-385, 94-619, 94-580, 101-440; the Energy Policy and Conservation Act of 1992, PL 102-486; the DOE Organization Act, PL 95-91; the Renewable Energy and Energy Efficiency Technology Competitiveness Act of 1989, PL 101-218; the National Superconductivity and Competitiveness Act of 1988, PL 100-697; the Biomass Research and Development Act of 2000, PL 106-224; the Energy Conservation and Production Act, PL 94-163, and the Hydrogen Future Act of 1996, PL 104-271. These respective statutes cover the programs participating in the SEP Special Projects. All financial assistance provided under SEP Special Projects shall comply with applicable legislation. Negotiation, award, and administration will be in accordance with DOE Financial Assistance Rules (10 CFR Part 600). A copy of 10 CFR 600 may be obtained electronically at the Electronic Code of Federal Regulations website located at <http://www.gpoaccess.gov/ecfr>.

Applications must be submitted through the DOE Industry Interactive Procurement System (IIPS). Any other form of submission will not be accepted. All applications must have an IIPS Transmission Date/Time stamp no later than 8:00 PM Eastern Time on the dates specified in Section IV.E, "Submission Dates and Times."

DOE's obligation for performance of this funding opportunity is contingent upon the availability of appropriated funds from which financial assistance awards can be made. No legal liability on the part of DOE may arise for performance until funds are appropriated and awards are made.

C. FUNDING OPPORTUNITY OBJECTIVES

The objectives of this funding opportunity are: (1) To directly involve States in activities to accelerate deployment of energy efficiency and renewable energy technologies; (2) to facilitate the commercialization of emerging and underutilized technologies; and (3) to increase the responsiveness of Federally-funded technology development efforts to the needs of the marketplace. DOE will pursue these objectives by entering into grants or cooperative agreements with State Energy Offices or other agencies responsible for administering the State Energy Program pursuant to 10 CFR part 420. States are encouraged to enter teaming arrangements with industry, small business, institutions of higher education, non-profit

organizations, Native American organizations, DOE national laboratories, and other State Energy Offices (SEO's).

States are encouraged to develop and implement their Special Projects activities in conjunction with, or in collaboration with, the State office overseeing the environment, in cases where that is a viable approach. Energy and the environment are intertwined in many ways, and DOE believes in many situations Special Projects activities will benefit from interaction with State environmental offices.

D. PROGRAM CATEGORIES

Applicants are cautioned that this funding opportunity announcement is a master announcement and that each program category has its own program-specific number for submission of applications. For example, Program Category 02, Industries of the Future, has a funding opportunity number of DE-PS26-05NT42396-02. Applications cannot be submitted under the master announcement.

Applicants should submit an application under the Program Category that best fits the majority of effort to be performed. There is no limitation on the number of different applications that may be submitted; however, a separate application must be submitted to each Program Category identified below for which the Applicant is interested in receiving an award. Each application must be complete and shall not rely upon another application for submission of the required documents.

Category Number	Program Category and Sub-opportunity Number
01A	Clean Cities – AFV Incremental Costs: DE-PS26-05NT42396-01A
01B	Clean Cities – Refueling Infrastructure: DE-PS26-05NT42396-01B
01C	Clean Cities – School Buses: DE-PS26-05NT42396-01C
01D	Clean Cities – Coalition Support: DE-PS26-05NT42396-01D
01E	Clean Cities – Idle Reduction Technologies: DE-PS26-05NT42396-01E
01F	Clean Cities – Heavy Duty Hybrid Electric: DE-PS26-05NT42396-01F
02	Industries of the Future: DE-PS26-05NT42396-02
03	Building Codes and Standards: DE-PS26-05NT42396-03
04	Rebuild America: DE-PS26-05NT42396-04
05	Building America: DE-PS26-05NT42396-05
06	Federal Energy Management Program: DE-PS26-05NT42396-06
07	Photovoltaic Building Integrated Micro-Inverter: DE-PS26-05NT42396-07
08A	Wind Energy – Tall Towers: DE-PS26-05NT42396-08A
08B	Wind Energy – Wind and Water: DE-PS26-05NT42396-08B
09	Distributed Energy – Regional Combined Heating and Power Applications Centers: DE-PS26-05NT42396-09
10	Biomass: DE-PS26-05NT42396-10
11	Air Quality Integration: DE-PS26-05NT42396-11

SECTION II - AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT (NOV 2004)

DOE anticipates awarding financial assistance awards in the form of grants or cooperative agreements under this Funding Opportunity.

DOE will negotiate a Statement of Substantial Involvement prior to the award of any cooperative agreement. This statement will describe the Government's substantial involvement.

B. ESTIMATED FUNDING (NOV 2004)

Approximately \$14,700,000 in DOE fiscal year 2005 funds are expected to be available for new awards under this announcement.

C. MAXIMUM AND MINIMUM AWARD SIZE (NOV 2004)

Estimated Ceiling (i.e., the maximum amount for an individual award made under this announcement): VARIES BY PROGRAM CATEGORY – reference Appendix C for estimated funds availability for each specific Program Category.

Estimated Floor (i.e., the minimum amount for an individual award made under this announcement): VARIES BY PROGRAM CATEGORY – reference Appendix C for estimated funds availability for each specific Program Category.

SECTION III - ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS - RESTRICTED ELIGIBILITY (NOV 2004)

In accordance with 10 CFR 600.6(b), eligibility for award is restricted to the 50 States, the District of Columbia, American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the US Virgin Islands. Applications must be submitted by the State Energy Office or other agency responsible for administering the State Energy Program pursuant to 10 CFR part 420, although States may work in collaboration with non-State partners. Non-State partners interested in collaborating with their respective State Energy Office must contact their respective State Energy Office. A list of State Energy Offices can be found at:

www.eere.energy.gov/state_energy_program/seo_contacts.cfm

For convenience, the term "State" in this announcement refers to all eligible Applicants.

B. PRE-APPLICATION TELECONFERENCE ORIENTATION (FEB 2005)

A pre-application teleconference orientation will be conducted for all potential applicants. Applicants should contact the DOE Regional Office SEP Program Manager for information regarding participation in the teleconference. This pre-application orientation will cover the administrative aspects of SEP Special Projects. Prior to this pre-application teleconference orientation, all potential applicants should have registered in IIPS, utilized the IIPS practice site, and become familiar with the IIPS website. Questions to be addressed during the teleconference should be submitted through IIPS by March 4, 2005, 8:00 PM Eastern Time. Program-related questions will not be addressed at this teleconference. Additional questions asked during the teleconference will be consolidated and posted in IIPS. Following is the proposed schedule for the teleconference:

Date	States in the Following Regions	Times
Tuesday, March 8, 2005	Northeast Regional Office Mid-Atlantic Regional Office Western Regional Office	10:00 -- 11:00 am Eastern Time 1:00 -- 2:00 pm Eastern Time 12:00 -- 1:00 pm Pacific Time
Wednesday, March 9, 2005	Southeast Regional Office Midwest Regional Office Central Regional Office	1:00 -- 2:00 pm Eastern Time 10:00 -- 11:00 am Central Time 1:00 -- 2:00 pm Mountain Time

C. COST SHARING (NOV 2004)

Cost sharing is a mandatory factor for award in some of the Program Categories. (See Appendix C and each individual Program Category for specifics regarding required cost sharing.) For those Program Categories where cost sharing is not a mandatory factor, cost sharing is encouraged. Applications should clearly identify if cost sharing is proposed. Third Party In-kind contributions (e.g., contributions of services or property; donated equipment, buildings, or land; or donated supplies by other than the Applicant or any team member), incurred as part of this project may be considered as all or part of the cost share as described under 10 CFR Part 600, Section 600.224, **except as otherwise restricted by the individual program categories**. Foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award.

Where required, cost shares are stated as percentages (i.e., 20%; 50%, etc.), and represent the part of the total cost of the project that must be provided by the recipient. For example, if the total cost of a proposed project is \$120,000 and the required cost share is 20%, the recipient will be required to provide at least \$24,000 of the cost and the Federal share would not exceed \$96,000. ("Cost share," as the term is used in this funding opportunity, is never based on a percentage of the Federal financial assistance.)

Funds used to meet the Applicant's cost sharing requirements must comply with 10 CFR part 600.224 and they (i) must be verifiable from the recipient's records, (ii) must be necessary and reasonable for the proper and efficient accomplishment of the project, (iii) must not be included as a contribution for any other Federally-assisted project or program, (iv) must be allowable under the applicable cost principles, and (v) must not include costs borne by other Federal financial assistance, unless provided for by statute, or funds or contributions that have been used to meet cost sharing requirements of other Federal financial assistance.

Funds included in State SEP formula grants, whatever the source, and costs covered by SEP formula grants, including salaries of State employees, may not be used to satisfy SEP Special Projects cost share requirements. Petroleum violation escrow (PVE) funds of the Warner and EXXON types may not be used for cost shares; PVE funds of the Stripper Well and Diamond Shamrock type may be used as appropriate.

It is important that sources and amounts of cost shares be clearly specified in the application. This will facilitate evaluation of the applications and will expedite final negotiations prior to a financial assistance award for projects selected for funding, helping to avoid delays at crucial steps in the process.

(See 10 CFR sections 420.31, 420.32, and 420.33, and 10 CFR part 600.224 for more information.)

D. OTHER ELIGIBILITY REQUIREMENTS (NOV 2004)

Federally Funded Research and Development Center (FFRDC) Contractors.

FFRDC applicants are not eligible for an award. A list of the FFRDC contractors is available at <http://www.nsf.gov/sbe/srs/ffrdc/start.htm>. However, an application that includes performance of a portion of the work by a FFRDC contractor will be evaluated and considered for award. (See Section VIII).

SECTION IV - APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE (NOV 2004)

This announcement includes all the information needed to complete an application.

APPLICATIONS MUST BE SUBMITTED THROUGH IIPS TO BE CONSIDERED FOR AWARD.

Applications must be submitted through the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov> . Instructions on how to submit an application or an application amendment and how to register, submit questions, and view questions and answers are located on the web site at <http://e-center.doe.gov> , click on the “Help” button and click on “Frequently Asked Questions”.

Prepare all the required files in accordance with the instructions in this announcement prior to starting the transmission process. Submit the entire application package in one IIPS session (i.e., do not logoff before all the files are submitted).

When you are ready to submit your application, go to <http://e-center.doe.gov> and complete the IIPS cover page. Enter the unique identification code (as described in Appendix B) and the project title in the “Subject” block. Then attach each file in the corresponding block in accordance with the IIPS guidance. Follow the instructions for submitting the application.

If you have any problems accessing information or submitting your application, contact the Help Desk at 1 800-683-0751 and select option 1, or send an email to HelpDesk@pr.doe.gov . ONLY APPLICATIONS SUBMITTED THROUGH IIPS WILL BE CONSIDERED FOR AWARD.

Electronic Signature - Applications submitted through IIPS constitute submission of electronically signed applications. The name of the authorized organizational representative (i.e., the administrative official, who, on behalf of the proposing organization, is authorized to make certifications and assurances or to commit the applicant to the conduct of a project) must be typed in the signature block on the form to be accepted as an electronic signature. Do not submit a scanned copy of the signed document.

B. LETTER OF INTENT AND PREAPPLICATION (NOV 2004)

1. Letter of Intent.

Letters of Intent are not required.

2. Pre-application

Pre-applications are not required.

C. COLLABORATIVE APPLICATIONS (DEC 2003)

Where a State is proposing to serve as the lead State in collaboration with a number of other State partners, the lead State by its submission of an application certifies that it is willing and able to subgrant or otherwise provide funds as needed to its partners. Where a group of States wishes to propose a collaboration but there is no State willing or able to meet the requirements of a lead State, each State must submit a separate application, with that State's funding needs requested, clearly drafted to spell out the collaborative nature of the project, and the partners involved.

D. CONTENT AND FORM OF APPLICATION – IIPS (NOV 2004)

DUNS Number.

All applicants, except individuals who would personally receive an award under this announcement apart from any business or non-profit organization they may operate, must include a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number in their application. For the purpose of this requirement, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply for an award. For example, a consortium formed to apply for an award must obtain a DUNS number for that consortium. For assistance in obtaining a DUNS number at no cost to you, call the DUNS Number request line at 1 866-705-5711. Be prepared to provide the following information: (1) Organization name; (2) Address; (3) Telephone number; (4) Line of business; (5) Chief executive officer/key manager; (6) Date the organization was started; (7) Number of people employed; (8) Organization affiliation. If you do not already have a DUNS number, you should obtain one as soon as you decide to submit an application.

When you are ready to submit your application, go to <http://e-center.doe.gov> and complete the IIPS cover page. Enter the unique identifier code (as described in Appendix B) and the project title in the "Subject" block. Then attach each file in the corresponding block in accordance with the following:

For consistency, applicants must include the following files in their application and must use the file names specified below. Each file must clearly identify the form name **and the unique identification code (UIC)**. (See Appendix B for full instructions on the unique identification code.) Filename extensions shall clearly indicate the software application used for preparation of the documents (i.e., "xxx.doc" for Word files, "xxx.pdf" for Adobe Acrobat files, or "xxx.xls" for Excel files).

MANDATORY FILES

FILENAME

Application	APPLICATION-UIC.---
Budget	BUDGET-UIC.---
Budget Justification	BUDGET JUSTIFICATION-UIC.--
Project Summary/Abstract	PROJECT SUMMARY-UIC.---

Project Narrative	PROJECT NARRATIVE-UIC.---
Certifications/Assurances/Representations	CERTIFICATIONS-ASSURANCES-UIC.-

ADDITIONAL FILES

Attachment 1 – Letter(s) of Commitment	COMMITMENT-UIC.---
Attachment 2 – Personnel Resources	RESOURCES-UIC.---
Attachment 3 – FFRDC Attachment (if applicable)	FFRDC ATTACHMENT-UIC.---
Attachment 4 – Special Projects Conference/ Workshop Project Information Form (if applicable)	CONFERENCE-UIC.---

APPLICATION FILE

Applicants must complete an SF 424 application form. Save this form as a file named "**APPLICATION-UIC.xxx.**" The SF 424, is available on the NETL homepage at:

<http://www.netl.doe.gov/business/faapiaf/app-files.html>

BUDGET FILE

Applicants must complete a DOE F 4600.4 showing the cumulative budget for the total project period. The DOE F 4600.4 is available on the NETL homepage at:

<http://www.netl.doe.gov/business/faapiaf/app-files.html>

NOTE: The total project cost (i.e. sum of Applicant and other participants plus DOE cost shares) must be reflected in each budget form.

The DOE F 4600.4 Budget form shall also be submitted for each subaward having a value of greater than \$100,000 or performing fifty percent (50%) or more of the proposed effort, whichever is less.

You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work and are not precluded by the cost principles or program funding restrictions (See Section IV). Save these budget forms in a single file named "**BUDGET-UIC.xxx.**"

ADVICE TO APPLICANTS: Download the DOE F 4600.4 Budget form, open the file in Word and go to the "Tools" menu to "unprotect" the document. This will enable you to develop a single file containing a multi-year budget, and to incorporate 'subaward' budgets, if applicable.

BUDGET JUSTIFICATION FILE

Justify proposed direct labor, travel, consultants, large subawards, large or unique “other direct costs”, equipment, etc., and the basis for the cost estimate. The Applicant may utilize the GO-PF20(SL), or any other format preferred for the budget justification, providing the format contains all information as requested on the GO-PF20(SL). Applicants can access this form at the following link:

http://www.go.doe.gov/application_forms.asp

Applicants may use either Word, PDF or Excel format. Save this information in a file named “**BUDGET JUSTIFICATION-UIC.xxx**”.

PROJECT SUMMARY/ABSTRACT

The format for submission of this Project Summary can be found at <http://www.netl.doe.gov/business/faapiaf/app-files.html>.

The project summary/abstract must contain a summary of the proposed activity suitable for publication. It should be a self-contained document that identifies the name of the State Energy Office (SEO), the SEO principal investigator/project director, the project title, the objectives of the project, methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and participants (for collaborative projects). It should be informative to other persons working in the same or related fields and, insofar as possible, understandable to a scientifically or technically literate lay reader. This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary abstract must not exceed 1 page when printed using standard 8.5” by 11” paper with 1” margins (top, bottom, left and right).

The other information fields on the fillable project summary/abstract form are used internally by DOE in managing the funding opportunity process. It is important that the fillable format be used so that the information fields can be entered automatically into a database. Save this information in a file named “**PROJECT SUMMARY-UIC.xxx**”

PROJECT NARRATIVE

This file shall include a **cover page** indicating the funding opportunity notice number, name and address of the Applicant, SEO point of contact, telephone/FAX number/E-Mail address, title of project, and date of application.

NOTE: APPLICANTS MUST DOWNLOAD THE DETAILED INSTRUCTIONS FOR PREPARING THE PROJECT NARRATIVE FILE SPECIFIC TO THE PROGRAM CATEGORY FOR WHICH THEIR APPLICATION PERTAINS. THIS DETAIL IS FOUND WITHIN EACH SPECIFIC PROGRAM CATEGORY SUB-OPPORTUNITY.

The project narrative file must be formatted to separately address each of the sections listed below. It is requested that the project narrative not exceed ten (10) pages (excluding the cover page and Statement of Project Objectives)

single-spaced, 1" margins (top, bottom, left, right), and when printed will fit on size 8 1/2" by 11" paper. The type must be legible and not smaller than 11 point. Evaluators will review only the number of pages specified.

Save this information in a file named **"PROJECT NARRATIVE-UIC.xxx"**

Unnecessarily elaborate applications are not desired. Elaborate art work, graphics and pictures will increase the document file size.

This file should provide a clear description of the work to be undertaken and how you plan to accomplish it. To help facilitate the review process and to ensure maximum consideration of the application's merit, the project narrative shall be structured in accordance with the evaluation criteria and requirements specified in each Program Category and shall include any information specifically identified to be furnished in the application.

STATEMENT OF PROJECT OBJECTIVES (SOPO)

The SOPO shall include a description of activities, by task, which is responsive to the technical requirements in each Program Category. The SOPO shall be included in the Project Narrative file (but excluded from the 10-page limitation). The SOPO is limited to no more than two (2) pages and must provide the following information within the 2 pages:

- a. The total estimated costs for each task;
- b. The title and number of hours for personnel proposed [both Applicant and participant(s)] by task;
- c. If total travel costs are \$30,000 or 25% of total budget (whichever is less) provide travel (including purpose) by task; and
- d. Proposed equipment over \$5,000 by task.

CERTIFICATIONS/ASSURANCES/REPRESENTATIONS FILE

NOTE: THIS FILE IS REQUIRED IF APPLICANT DOES NOT CURRENTLY HAVE A CERTIFICATIONS/ASSURANCES/REPRESENTATIONS PACKAGE ON FILE WITH DOE, OR, IF ANY UPDATES NEED TO BE MADE TO CURRENT ON-FILE PACKAGE.

Applicants must complete the full DOE certifications/assurances/representations information if they do not currently have a certifications/assurances/representations package on file with DOE, or, if any updates need to be made to current on-file package. The certifications/assurances/representations are available on the NETL homepage at:

<http://www.netl.doe.gov/business/faapiaf/app-files.html>

This program is not covered under Title XX through XXIII of EPACT, therefore, applicants must complete the certifications/assurances/representations form set without the EPACT Representation.

Save this information in a single file named **“CERTIFICATIONS-ASSURANCES-UIC.xxx.”**

In addition, successful applicants may be required to complete a “Representation of Limited Rights Data and Restricted Computer Software” certification located within the Certifications/Assurances/Representations file found on the NETL Website, if their application is selected for negotiation of an award. The “Representation of Limited Rights Data and Restricted Computer Software” certification is designed to identify asserted “limited rights data” and “restricted computer software” as defined in the “Rights in Data – General” or the “Rights in Data – Programs Covered Under Special Data Statutes” provision (see Intellectual Property Provisions at www.gc.doe.gov/gcmain.html). If selected for negotiation, the applicant will be notified whether or not they are required to complete the “Representation of Limited Rights Data and Restricted Computer Software.”

ATTACHMENT 1 – LETTER(S) OF COMMITMENT

NOTE: REFERENCE SPECIFIC PROGRAM CATEGORIES FOR ANY ADDITIONAL REQUIREMENTS FOR THE CONTENTS OF LETTERS OF COMMITMENT BEYOND THAT DESCRIBED BELOW.

Letters of commitment are required from cost share partners if specified by the individual Program Category. Letter of commitment must be signed by an authorized official, identifying the organization, the percentage level, the amount, the source of cost sharing, and demonstrating that all aspects of the proposed project scope will be conducted as described by the Applicant. Save this information in a file named **“COMMITMENT-UIC.xxx.”** See Appendix D for a model Letter of Commitment.

NOTE: LETTERS OF COMMITMENT SUBMITTED ON COMPANY LETTERHEAD IDENTIFYING THE COMMITTING ORGANIZATION, AND CONTAINING THE TYPED SIGNATURE OF THE INDIVIDUAL AUTHORIZED TO COMMIT ON BEHALF OF THE ORGANIZATION IN THE SIGNATURE BLOCK OF THE LETTER, CONSTITUTE SUBMISSION OF ELECTRONICALLY SIGNED LETTERS.

ATTACHMENT 2 – PERSONNEL RESOURCES (2 Page Limit)

Duties for all key personnel (Applicant and participants) should be described in narrative form. Descriptions should be limited to one paragraph for each person.

Save this information in a file named **“RESOURCES-UIC.xxx.”**

ATTACHMENT 3 - FFRDC ATTACHMENT (if applicable)

FFRDC Budgets and a DOE Field Work Proposal in accordance with the requirements in DOE Order 412.1 Work Authorization System, (<http://www.directives.doe.gov/pdfs/doe/doetext/neword/412/o4121.pdf>) must be saved as a Word file and named **“FFRDC ATTACHMENT-UIC.xxx.”**

BUDGET FILE FOR FFRDC PARTICIPANT, IF ANY

If a non-DOE FFRDC contractor is to perform a portion of the work, provide a separate budget for the FFRDC contractor's work effort.

If a DOE FFRDC contractor is to perform a portion of the work, provide a DOE Field Work Proposal in accordance with the requirements in DOE Order 412.1 Work Authorization System (Attachment 3 is a Sample Format for the Field Work Proposal). DOE O 412.1 is available at

<http://www.directives.doe.gov/pdfs/doe/doetext/neword/412/o4121.pdf> .

All FFRDC budgets must be saved in a single file named "**FFRDC ATTACHMENT-UIC.xxx**".

ATTACHMENT 4 – SPECIAL PROJECTS CONFERENCE/WORKSHOP PROJECT INFORMATION FORM (if applicable)

If an applicant proposes conferences/workshops, i.e. meetings, seminars, retreats, symposiums, or similar events, a Special Projects Conference/Workshop Project Information Form must be included for **each** conference/workshop proposed. The Special Projects Conference/Workshop Project Information Form is found as Appendix E to this announcement.

The Special Projects Conference/Workshop Project Information Form (s) must be saved in a single file named "**CONFERENCE-UIC.xxx**".

E. SUBMISSION DATES AND TIMES (NOV 2004)

1. Pre-application Due Date

Pre-applications are not required.

2. Application Due Date

Applications must be received by the dates indicated below for the respective program categories, not later than 8:00 PM Eastern Time. You are encouraged to transmit your application well before the deadline.

SUBMISSION DUE DATES	CATEGORY NUMBER
Monday, May 2, 2005	01A, 01C, 02, 04, 06, 07
Wednesday, May 4, 2005	01B, 01E, 03, 05, 10
Friday, May 6, 2005	01D, 01F, 08A, 08B, 09, 11

APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

F. SUBMISSIONS FROM SUCCESSFUL APPLICANTS (NOV 2004)

Successful applicants may be required to complete an Environmental Questionnaire located in the forms section of the NETL Website at

<http://www.netl.doe.gov/business/forms/nepasol.doc> , if their application is selected for negotiation of an award. Those Program Categories identified in Appendix C with a “YES” in the “NEPA CX” column may not be required to submit this questionnaire. The Environmental Questionnaire is designed to provide project-specific environmental information supplied by the applicant in order for DOE to evaluate any potential impacts (positive and negative) on the environment and shall be of enough detail for the Department to meet its requirements under the National Environmental Policy Act (NEPA) in its selection of applications for negotiation of an award. If selected for negotiation, the applicant will be notified whether or not they are required to complete the Environmental Questionnaire.

Applicants are restricted from taking any irreversible action prior to DOE reaching a final NEPA decision regarding the proposed project. Irreversible actions include demolition of existing buildings, site clearing, ground breaking, construction, and/or detailed design. This restriction, however, does not preclude the applicant from developing plans, preliminary designs, or performing other necessary support work prior to DOE reaching its final NEPA decision, provided the work has been authorized by DOE.

G. INTERGOVERNMENTAL REVIEW - NONE (NOV 2004)

This program is not subject to Executive Order 12372, “Intergovernmental Review of Federal Programs”.

H. FUNDING RESTRICTIONS (NOV 2004)

Cost Principles. Costs must be allowable in accordance with the applicable cost principles referenced in 10 CFR part 600.

I. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS (NOV 2004)

IIPS Registration Process.

In order to submit an application through IIPS, you must be authorized by the applicant (i.e., institution or business entity) to submit an application on its behalf and you must register in IIPS. You are encouraged to register as soon as possible. You only have to register once to apply for any DOE award. To register go to <http://e-center.gov>, select the IIPS System, and follow the registration instructions.

SECTION V - APPLICATION REVIEW INFORMATION

A. CRITERIA (NOV 2004)

1. Compliance Review Criteria

A compliance review will be performed to check the application package for its compliance with forms and page limits, and its responsiveness to the requirements of the funding opportunity. If an application doesn't meet all of the compliance review requirements below, it will be deemed non-responsive and will not be further reviewed. Applicants will be notified in writing of this determination. The compliance review will be performed to determine if the:

- (1) Application is submitted within the appropriate Program Category.
- (2) Application is complete. This review will verify that all mandatory files as required by Section IV.D "Content and Form of Application," are included in the application and completed as described therein.
- (3) Applicant is a State Energy Office or other agency responsible for administering the State Energy Program pursuant to 10 CFR part 420.
- (4) Applicant's proposed cost share meets the requirements of the Program Category.

Failure to comply with any of the above requirements will deem the application non-responsive and will not be considered for comprehensive evaluation.

2. Comprehensive Merit Review Criteria

All timely applications that fulfill the minimum application requirements, as determined under the compliance review criteria, will be eligible for comprehensive merit review. Applications submitted in response to this funding opportunity will be evaluated and scored in accordance with the criteria listed in each Program Category.

3. Other Selection Factors

These factors, while not indicators of the Application's merit, e.g., technical excellence, cost, Applicant's ability, etc., may be essential to the process of selecting the application(s) that, individually or collectively, will best achieve the program objectives. Such factors are often beyond the control of the Applicant. Applicants should recognize that some very good applications may not receive an award because they do not fit within a mix of projects which, as a whole, meets the goals of the issuing Program Office and is consistent with DOE's and EERE's mission. Therefore, the following Program Policy Factors may be used by the Selection Official to assist in determining which of the ranked application(s) shall receive DOE funding support.

- (1) The desire to select a mix of projects which achieves the strategic goals of EERE;

- (2) The desire to select projects which maximize the significance of the projects in meeting gaps in specific EERE end-use sectors or technology areas;
- (3) The desire to select projects which produce a diverse portfolio of projects and or methodologies;
- (4) The desire to select projects which maximize the geographic diversity (considering past awards and current applications); and
- (5) The desire to select projects which maximize the availability of funds.

B. REVIEW AND SELECTION PROCESS (NOV 2004)

1. Merit Review

Applications that pass the compliance review will be subjected to a merit review in accordance with the Office of Energy Efficiency and Renewable Energy merit review procedures which were published in the Federal Register on December 20, 2001 (Vol. 66, No. 245).

2. Selection

The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available.

3. Discussions and Award

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES - MULTIPLE DUE DATES (NOV 2004)

It is anticipated that selection and awards of financial assistance resulting from this announcement will be made this fiscal year. Awards are expected to be made within 90 calendar days following the selection.

SECTION VI - AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES (NOV 2004)

1. Notice of Selection

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance.

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

2. Notice of Award

A Notice of Financial Assistance Award issued by the contracting officer is the authorizing award document. It includes, either as an attachment or by reference: 1. Special Terms and Conditions; 2. applicable program regulations, if any; 3 the application as approved by DOE/NNSA.; 4. DOE assistance regulations at 10 CFR Part 600, or, for Federal Demonstration Partnership (FDP) institutions, the FDP terms and conditions; 5. National Policy Assurances To Be Incorporated As Award Terms; and 6. a reporting checklist, which identifies the reporting requirements.

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS (NOV 2004)

1. Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 (See: <http://ecfr.gpoaccess.gov>), except for grants made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific terms and conditions are located on the National Science Foundation web site at www.nsf.gov .

2. Special Terms and Conditions and National Policy Requirements

Special Terms and Conditions and National Policy Requirements. The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements and National Policy Assurances To Be Incorporated As Award Terms are located at <http://grants.pr.doe.gov> .

Intellectual Property Provisions. The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at http://www.gc.doe.gov/techtrans/sipp_matrix.html .

C. REPORTING

The Reporting Requirements shall be in accordance with 10 CFR Part 420.5.

SECTION VII - AGENCY CONTACTS

A. CONTACTS (NOV 2004)

Questions regarding how to submit an application through IIPS can be e-mailed to the IIPS HELP Desk at helpdesk@pr.doe.gov or by calling 1 (800) 683-0751.

B. ELECTRONIC QUESTIONS (NOV 2004)

ALL QUESTIONS MUST BE SUBMITTED THROUGH THE "SUBMIT QUESTION" FEATURE IN IIPS. ALL QUESTIONS MUST BE SUBMITTED TO THE MASTER FUNDING OPPORTUNITY ANNOUNCEMENT.

All requests for explanation or interpretation of any part of the Funding Opportunity Announcement must be submitted through the "Submit Question" feature in IIPS. IN ORDER TO MAINTAIN CONSISTENCY AND EASE IN FINDING QUESTIONS AND ANSWERS, ALL QUESTIONS MUST BE SUBMITTED TO THE MASTER FUNDING OPPORTUNITY. DOE reserves the right to not answer any questions submitted under specific sub-opportunities. Once a question is submitted, it cannot be edited. Questions submitted as well as the government's response to these questions may be viewed by using the "View Questions" feature in IIPS. The Government reserves the right not to respond to questions submitted by telephone, E-mail or in person at any time. The deadline for submission of questions is April 25, 2005.

Questions regarding the content of the announcement should be submitted through the "Submit Question" feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Locate the announcement on IIPS and then click on the "Submit Question" button. Enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 3 days, unless a similar question and answer have already been posted on the website.

Responses to questions may be viewed through the "View Questions" feature, button. If no questions have been answered, a statement to that effect will appear. You should periodically check "View Questions" for new questions and answers.

Questions regarding how to submit questions or view responses can be e-mailed to the IIPS HELP Desk at helpdesk@pr.doe.gov or by calling 1 (800) 683-0751.

SECTION VIII - OTHER INFORMATION

A. MODIFICATIONS (NOV 2004)

Notices of any modifications to this announcement will be posted on the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS.

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE (NOV 2004)

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

C. COMMITMENT OF PUBLIC FUNDS (NOV 2004)

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

D. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL (NOV 2004)

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

E. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM (NOV 2004)

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions.

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE's own needs or to insure the commercialization of technology developed under a DOE agreement.

Intellectual Property Provisions The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at <http://www.gc.doe.gov/gcmain.html>.

F. PARTICIPATION BY FEDERALLY FUNDED RESEARCH AND DEVELOPMENT CENTER (FFRDC) CONTRACTORS (NOV 2004)

Federally Funded Research and Development Center (FFRDC) contractors are not eligible for an award under this announcement, but they may be proposed as a team member subject to the following guidelines:

Authorization for non-DOE/NNSA FFRDCs. The Federal agency sponsoring the FFRDC contractor must authorize in writing the use of the FFRDC contractor on the proposed project and this authorization must be submitted with the application. The use of a FFRDC contractor must be consistent with the contractor's authority under its award and must not place the FFRDC contractor in direct competition with the private sector.

Authorization for DOE/NNSA FFRDCs. The cognizant contracting officer must authorize in writing the use of a DOE/NNSA FFRDC contractor on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization.

"Authorization is granted for the _____ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory, will not adversely impact execution of the DOE/NNSA assigned programs at the laboratory, and will not place the laboratory in direct competition with the domestic private sector."

Value/Funding. The value of, and funding for, the FFRDC contractor portion of the work will not normally be included in the award to a successful applicant. Usually, DOE/NNSA will fund a DOE/NNSA FFRDC contractor through the DOE field work proposal system and other FFRDC contractors through an interagency agreement with the sponsoring agency.

Cost Share. The applicant's cost share requirement will be based on the total cost of the project, including the applicant's and the FFRDC contractor's portions of the effort.

FFRDC Contractor Effort:

The FFRDC contractor effort, in aggregate, shall not exceed 50% of the total estimated cost of the project, including the applicant's and the FFRDC contractor's portions of the effort.

Responsibility. The applicant, if successful, will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to, disputes and claims arising out of any agreement between the applicant and the FFRDC contractor.

G. PROPRIETARY APPLICATION INFORMATION (NOV 2004)

An application may include data, including trade secrets and/or privileged or confidential commercial or financial information which the applicant does not want disclosed to the public or used for any purpose other than evaluation of the application (See 10 CFR 600.15). The use and disclosure of such data may be restricted, provided the applicant marks the cover sheet of the application with the following legend and specifies the pages of the application which are to be restricted:

“The data contained in pages [] of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government's right to use or disclose data obtained without restriction from any source, including the applicant.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“Use or disclosure of the data set forth above is subject to the restriction on the cover page of this application.”

H. LIST OF APPENDICES (FEB 2005)

Appendix A – Definitions

Appendix B – Application Identification

Appendix C – Program Category Matrix

Appendix D – Model Commitment Letter

Appendix E – Special Projects Conference/Workshop Project Information Form

APPENDIX A - DEFINITIONS

"Amendment" means a revision to the funding opportunity.

"Applicant" means the legal entity submitting the application as described in Provision 3.1. This entity may be one State or a single State representing a group of States that has chosen to submit a single application in response to the funding opportunity.

"Application" means the documentation submitted in response to the funding opportunity.

"Award" means the written documentation executed by a DOE Contracting Officer, after an applicant is selected, which contains the negotiated terms and conditions for providing financial assistance to the applicant. A financial assistance award may be either a grant or a cooperative agreement.

"Budget" means the cost expenditure plan submitted in the application, including both the DOE contribution and the applicant cost share.

"Budget Period" means an interval of time, specified in the award, into which a project is divided for budgeting purposes.

"Collaborative" means the group of States that have chosen to submit a single application in response to the funding opportunity.

"Contracting Officer" means the DOE official authorized to execute awards on behalf of DOE and who is responsible for the business management and non-program aspects of the financial assistance process.

"Cooperative Agreement" means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the applicant during the performance of the contemplated activity.

"Cost Sharing" means the respective share of total project costs required to be contributed by the applicant and by DOE. The required percentage of applicant cost share is to be applied to the total project cost (i.e., the sum of applicant plus DOE cost shares) rather than to the DOE contribution alone.

"Financial Assistance" means the transfer of money or property to an applicant or participant to accomplish a public purpose of support authorized by Federal statute through grants or cooperative agreements and subawards. In DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

"Federally Funded Research and Development Center (FFRDC)" means a research laboratory as defined by Federal Acquisition Regulation 35.017.

"Grant" means a financial assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the applicant during the performance of the contemplated activity.

"Key Personnel" means the individuals who will have significant roles in planning and implementation of the proposed project on the part of the applicant and participants, including FFRDC's.

"Industry Interactive Procurement System (IIPS) " is DOE's Internet-based procurement system which allows access to DOE's business opportunities database, allows user registration and submittal of applications. <http://e-center.doe.gov/>

"Participant", for purposes of this funding opportunity and Program Category opportunities only, means any entity, except the applicant substantially involved in a consortium, or other business arrangement (including all parties to the application at any tier), responding to the announcement or Program Category opportunity.

"Program Policy Factors" are factors that, while not appropriate indicators of the application's merit, are essential to the process of choosing which applications will best achieve the program objectives. For example, program policy factors may reflect the desirability of selecting projects based on geographic distribution, diverse approaches, or complementary efforts.

"Project" means the set of activities described in an application, State plan, or other document that is approved by DOE for financial assistance (whether such financial assistance represents all or only a portion of the support necessary to carry out those activities).

"Project Period" means the total period of time indicated in an award during which DOE expects to provide support contingent upon satisfactory progress and available funds. A project period may consist of one or more budget periods and may be extended by DOE.

"Recipient" means the organization, individual, or other entity that receives a Financial Assistance award from DOE and is financially accountable for the use of any DOE funds or property provided for the performance of the project, and is legally responsible for carrying out the terms and conditions of the award.

"Selection" means the determination by the DOE Selection Official that negotiations take place for certain projects with the intent of awarding a Financial Assistance instrument.

"Selection Official" means the DOE official designated to select applications for negotiation toward award under a subject funding opportunity.

"Substantial Involvement" means involvement on the part of the government. DOE's involvement may include: shared responsibility for the performance of the project; providing technical assistance or guidance which the applicant is required to follow; and the right to intervene in the conduct or performance of the project. Such involvement will be negotiated with each applicant prior to signing any agreement.

"Third Party In-kind contributions" mean property or services which benefit a Federally-assisted project or program and which are contributed by non-Federal third parties without charge to the grantee, or a cost-type contractor under the grant agreement.

"Total Project Cost" means all the funds required to complete the effort proposed by the applicant, including DOE funds (including direct funding of any FFRDC) plus all other funds that will be committed by the applicant as cost sharing.

APPENDIX B – APPLICATION IDENTIFICATION

For each application, an Applicant must first click on “Create Proposal” and then complete the information requested. In order for DOE to accurately identify each application, Applicants must enter the unique project title and the unique identification code (UIC) in the “subject” line when submitting an application.

In the event that two or more applications are received from the same Applicant with the same unique project title and unique identification code (UIC), only the application with the latest transmission time stamp will be considered for review. The unique identification code (UIC) consists of the following characters. Each segment is separated by a dash.

1 (Table B-1) – 2 (Table B-2) – 3 (Two digit sequential number) – 4 (Two letter State identifier)

- 1 – Code designating the cognizant Regional Office (Table B-1).
- 2 – Code designating the Program Category (Table B-2).
- 3 – Two digit sequential number designating the application within that Program Category (each sequence within each Program Category will start with “01”).
- 4 – Two letter code of the State.

For example, N-IF-06-MA would be the sixth Industries of the Future application submitted by the State of Massachusetts which resides in the Northeast Regional Office.

Table B-1

Code	Regional Office	Code	Regional Office
C	Central Regional Office	N	Northeast Regional Office
MA	Mid-Atlantic Regional Office	S	Southeast Regional Office
MW	Midwest Regional Office	W	Western Regional Office

Table B-2

Code	Program Category	Code	Program Category
CCIC	Clean Cities – AFV Incremental Costs	RA	Rebuild America
CCRI	Clean Cities – Refueling Infrastructure	BA	Building America
CCSB	Clean Cities – School Buses	FE	FEMP
CCCS	Clean Cities – Coalition Support	PH	Photovoltaic Building Integrated Micro-Inverter
CCIR	Clean Cities – Idle Reduction Technologies	WETT	Wind Energy – Tall Towers
CCHE	Clean Cities – Heavy Duty Hybrid Electric	WEWW	Wind Energy – Wind and Water
IF	Industries of the Future	DE	Distributed Energy
CS	Building Codes and Standards	BP	Biomass
AI	Air Quality Integration		

Appendix C – Program Category Matrix
DE-PS26-05NT42396

Program Category	Sub-Opportunity No.	Funds Avail. (\$000)	Est. No. of Awards	Cost Share %	Cost Share (Notes)	Due Date (2005)	Maximum Award Per Application (\$000)	Eligibility Requirements	NEPA CX *	Links
Clean Cities – AFV Incremental Costs	01A	800	4-8	None		May 2	100 light duty veh.. 200 med & heavy-duty vehicles	Designated Clean Cities Coalition	YES	
Clean Cities – Refueling Infrastructure	01B	1,600	11-15	30% required	50% of non-Federal cost share in cash	May 4	150/project	Designated Clean Cities Coalition	NO	
Clean Cities – School Buses	01C	400	2-3	20% For Infrastructure None For Vehicles	20% of non-Federal cost share in cash	May 2	200/ project	Designated Clean Cities Coalition	NO	http://www.ccities.doe.gov
Clean Cities – Coalition Support	01D	600	30	50% required	50% of non-Federal cost share in cash	May 6	20/project	Designated Clean Cities Coalition	YES	
Clean Cities – Idle Reduction Technologies	01E	400	4-6	50% required	30% of non-Federal cost share in cash	May 4	100/project	Designated Clean Cities Coalition	YES	
Clean Cities - Heavy Duty Hybrid Electric	01F	200	1-2	None		May 6	200/project	Designated Clean Cities Coalition	YES	
Industries of the Future	02	1,000 - 2,000	10-20	30% required		May 2	100/project	N/A	YES	http://www.eere.energy.gov/
Building Codes & Standards	03	2,000	11-18	25% required	Higher level cost share is encouraged	May 4	200/state	N/A	YES	
Rebuild America	04	3,700	37	25% required	Higher level of cost sharing is encouraged.	May 2	100/project	N/A	YES	http://www.rebuild.org
Building America	05	500	Up to 6	20% required	Higher cost share is encouraged.	May 4	100/project	N/A	YES	http://www.eere.energy.gov/buildings/building_america/

Appendix C – Program Category Matrix
DE-PS26-05NT42396

Program Category	Sub-Opportunity No.	Funds Avail. (\$000)	Est. No. of Awards	Cost Share %	Cost Share (Notes)	Due Date (2005)	Maximum Award Per Application (\$000)	Eligibility Requirements	NEPA CX *	Links
FEMP	06	400	2	25% required	Higher cost share is encouraged.	May 2	200/project	N/A	YES	http://www.eere.energy.gov/femp/
Photovoltaic Building Integrated Micro-Inverter	07	250	2	50% encouraged	Higher level of cost sharing is encouraged.	May 2	100 - 150/project	N/A	YES	
Wind Energy – Tall Towers	08A	225	3-4	25% required		May 6	50 to 75/project	N/A	YES	
Wind Energy – Wind and Water	08B	150	2-3	25% required		May 6	50 to 75/project	N/A	YES	
DER – CHP Apps Centers	09	1,200-1,500	8	20% required		May 6	150/project + up to 100 in additional tasks	N/A	YES	www.chpcentermw.org and http://www.eere.energy.gov/der/chp/
Biomass	10	500	7 – 10	25% required	Higher cost share is encouraged.	May 4	Not to exceed 75/project	N/A	NO	
Air Quality Integration	11	150	3-5	20% required		May 6	30-50/project	N/A	YES	

APPENDIX D – MODEL COMMITMENT LETTER

(To be provided on contributor's letterhead)

Date

TO:

State Agency

State Agency address

The purpose of this letter is to confirm [*company name*] commitment to the [*title of project*] if selected for participation in an award from the Department of Energy. As shown in the application, we are proposing [\$nnn cash contribution] and/or [\$nnn in-kind contribution] to support the project.

[Insert any additional narrative that may be necessary to further explain the value, nature and other qualitative measures of the participant's cost share]

I hereby represent that the above information is true and correct, and my proposed cost sharing contribution meets all of the requirements of 10 CFR 600.224 and specifically complies with the criteria set forth in Section III, Provision C COST SHARING of the Master Funding Opportunity Announcement.

Signature

//TYPED NAME OF AUTHORIZED OFFICIAL//

Title

APPENDIX E – SPECIAL PROJECTS CONFERENCE/WORKSHOP PROJECT INFORMATION FORM

Suggested Special Projects Information Form
Name of Energy Office:
Application Identification Number:
Suggested Title of Conference/Workshop:
Proposed Date(s):
Proposed Location:
Projected Attendance:
Intended Audience Type(s):
Non-DOE Co-Sponsors (if known):
Projected Total Conference Costs:
<div>DOE Costs:</div> <div>Invitational Travel Costs (if applicable):</div> <div>Project Cost Share (if known):</div>

CLEAN CITIES INCREMENTAL COST OF ALTERNATIVE FUEL VEHICLES:
DE-PS26-05NT42396-01A

ESTIMATED FUNDS AVAILABLE: \$800,000

ESTIMATED NUMBER OF PROJECTS: 4 - 8

FUNDING CEILINGS/EXPECTED RANGE OF FUNDING: \$100,000 for light-duty alternative fuel vehicle (AFV), and \$200,000 for medium and heavy-duty AFV projects.

COST SHARE REQUIREMENTS: None. 100% of the incremental cost of the AFVs is available.

Incremental cost shall be calculated on the difference between the cost of the AFV and the cost of a comparable conventional model verified by manufacturer estimate, after all other applicable manufacturer and local/State rebates and cash equivalent incentives are applied. For retrofitted AFVs, the incremental cost shall be based on the cost of the new fuel system plus installation after all other applicable manufacturer and local/State rebates and cash equivalent incentives are applied. Vehicle retrofits are limited to U.S. Environmental Protection Agency and/or California Air Resources Board emissions compliant vehicle systems. Funds are not available for non-fuel system upgrades such as transmissions and exhaust systems and should not be included in the incremental cost.

Only vehicles that will operate on Energy Policy Act of 1992 authorized alternative fuels are eligible (see http://www.eere.energy.gov/cleancities/vbq/whatis_epact.shtml to find a listing of authorized fuels).

QUALIFICATION CRITERIA: States must submit special project applications in partnership with their local, officially-designated (or approved for designation) Clean Cities coalition. Only projects located in active, designated (or approved for designation) Clean Cities are eligible for funding. An “active” coalition is one with a valid and approved memorandum of understanding with DOE. “Approved for designation” means that DOE has authorized a designation ceremony for a coalition. A separate application for each coalition must be submitted. Failure to comply with this qualification criterion will deem the application non-responsive and will not be considered for comprehensive evaluation.

BACKGROUND AND OBJECTIVES: The goal of the U.S. Department of Energy’s (DOE) Clean Cities initiative is to decrease the nation’s dependence on petroleum in the transportation sector through public/private Clean Cities partnerships formed around the country by:

- Accelerating the development of a sustainable alternative fuels market
- Accelerating the use of idle reduction technologies
- Accelerating the use of hybrid vehicles
- Increasing the use of alternative fuel blends in petroleum fuels
- Promoting informed consumer choice on fuel economy

PROJECTS REQUESTED/AREA OF INTEREST: Funding is available for the incremental cost of new highway-certified AFVs and conventional fuel vehicles (i.e., vehicles designed to operate using diesel or gasoline) retrofitted to operate on alternative fuels that will result in large conventional fuel displacement. Vehicle retrofits are limited to U.S. Environmental Protection Agency and/or California Air Resources Board emissions compliant vehicle systems. DOE has particular interest in funding medium- and heavy-duty highway vehicles. Priority will be given to applications that include a strategy to concentrate AFVs in activity centers that maximize infrastructure utilization.

Estimates of conventional fuel displacement shall be provided both per vehicle, and in total, over the projected ownership period of the AFVs (not the AFV lifetime). Fuel displacement shall be based on the fuel consumption of a comparable conventional fuel vehicle whether AFVs are replacing older vehicles or are additions to the existing fleet.

Projects are sought that will contribute to a sustainable alternative fuel market and potential for future growth without additional Federal funding. Evidence of this shall be provided as part of an explanation of the fleet's future operating plans.

AFVs that are acquired with SEP Special Project funds must display a Clean Cities decal that will be provided by DOE. Applications must describe how local communities, stakeholders, fleet operators, media and the general public will learn about the benefits of AFVs.

Projects requesting funding assistance for both AFVs and related fueling infrastructure must submit a separate application for the refueling infrastructure under the AFV Refueling Infrastructure category. Projects that expand the existing alternative fuel refueling infrastructure and/or encourage new infrastructure will be highly valued. Each application should clearly reference the other in order to assure proper consideration. School bus and related infrastructure projects must be submitted as a combined application as described in the School Bus category. Please see the School Bus category for infrastructure projects related to school bus fleets.

If project management costs are included in the budget, the project manager must be identified and his/her responsibilities described. Project management costs are not the same as administration costs.

Applications must include the Clean Cities Incremental Cost of AFVs Application Cover Sheet (Attachment 1) which summarizes significant application elements.

EVALUATION CRITERIA: Applications that satisfy the qualification criteria identified above, will then be evaluated and ranked by the following criteria:

1. Probability of project success based on the technical feasibility of the project, thoroughness of project implementation plan, identification and qualifications of appropriate team members, past performance of the team members, and quality of supporting documentation; that is, fleet and financial letters of commitment, letters with AFV cost information, and a coalition support letter. The application should demonstrate that the team has sufficient expertise and experience to bring the project to a successful conclusion. Grading factors will include: successful prior project management experience and with AFVs and infrastructure deployment; the performance track record of recipients of all previous State Energy Program (SEP) Special Projects Clean Cities grants will be taken into account. Applicants must describe the status and results of all previous SEP Special Projects Clean Cities grants in the application. **(Weight 35)**
2. Energy security benefits as indicted by conventional fuel displacement per vehicle, per project. **(Weight 35)**
3. Extent to which this project will contribute to a sustainable alternative fuel market and potential for growth without additional Federal funding, based on future fleet expansion plans; and probability of increasing awareness and acceptance of alternative fuels and AFVs among target sectors in the local community including, but not limited to, current stakeholders, fleet operators, media, and the general public. The intent to display Clean Cities decals on AFVs must be stated. Projects

that encourage expansion of the existing refueling infrastructure are highly valued. **(Weight 20)**

4. Anticipated project benefits, cost effectiveness of project based on the amount of petroleum displaced; cost per gallon displaced. Active participation from other coalition stakeholders and partners are strongly encouraged. **(Weight 10)**

Attachment 1.
Incremental Cost of AFVs Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Non-Federal Cost Share Committed, if any: \$

Number and Type of AFVs:

Number Fuel OEM/Retrofitted Light-, Medium-, Heavy-Duty

New or Addition to Existing Fleet:

Estimated Annual Petroleum Displacement:

Per vehicle:

Per project:

Is project tied to AFV Refueling Infrastructure project?

If yes, provide project number and brief description of project.

ESTIMATED FUNDS AVAILABLE: \$1,600,000

ESTIMATED NUMBER OF PROJECTS: 11- 15

FUNDING CELILINGS/EXPECTED RANGE OF FUNDING: \$150,000 maximum per project

COST SHARE REQUIREMENTS: 30% non-Federal cost share is required with 50% of this amount in cash.

QUALIFICATION CRITERIA: States must submit special project applications in partnership with their local, officially-designated (or approved for designation) Clean Cities coalition. Only projects located in active, designated (or approved for designation) Clean Cities are eligible for funding. An “active” coalition is one with a valid and approved memorandum of understanding with DOE. “Approved for designation” means that DOE has authorized a designation ceremony for a coalition. A separate application for each coalition must be submitted. Failure to comply with this qualification criterion will deem the application non-responsive and will not be considered for comprehensive evaluation.

BACKGROUND AND OBJECTIVES: The goal of the U.S. Department of Energy's (DOE) Clean Cities initiative is to decrease the nation's dependence on petroleum in the transportation sector through public/private Clean Cities partnerships formed around the country by:

- Accelerating the development of a sustainable alternative fuels market
- Accelerating the use of idle reduction technologies
- Accelerating the use of hybrid vehicles
- Increasing the use of alternative fuel blends in petroleum fuels
- Promoting informed consumer choice on fuel economy

The Clean Cities initiative is offering AFV refueling infrastructure funding to help decrease the nation's dependence on petroleum by helping to grow the alternative fuels market. Only projects that increase the use of Energy Policy Act of 1992 authorized alternative fuels are eligible (see http://www.eere.energy.gov/cleancities/vbg/whatis_epact.shtml to find a listing of authorized fuels).

PROJECTS REQUESTED/AREA OF INTEREST: Infrastructure projects can include new dispensing facilities, or additional equipment or upgrades and improvements to existing AFV refueling sites. Funding can be used to purchase equipment or to pay for specific turn-key fueling services by alternative fuel providers. Projects that include multiple fuel types (i.e., propane and biodiesel) at the same location must provide evidence of essential support from each fuel provider for every fuel type being proposed, in addition to evidence of fleet commitments. Full production facilities are not eligible.

The project team members must be identified and their qualifications must be described. Include fleet and financial commitment letters and a coalition support letter. Equipment estimate information must also be included.

Each refueling site location must be identified and applicants must submit a project implementation plan that includes a proposed construction schedule, a discussion of permitting

requirements, and environmental assessment needs. Project applications should include the fuel type, estimated fuel sales (i.e., fuel quantity based on fleet commitments, not simply the total capacity of the station), and the projected number of AFVs that will use the facility.

Projects that include fleet commitments for fuel purchases at the refueling site will be ranked higher. Extra consideration will be given to refueling sites that have shared fleet and/or open (public) access provisions. Projects that include a card lock system must utilize a universal reader technology and support station networking protocols already established in the region. Refueling sites that contribute to an infrastructure corridor development plan or regional strategy are desirable and should be clearly noted.

Station owners must provide information to the DOE regional office on the amount of fuel sold one year after the station is opened. Owners operating stations that are open to the public must agree to display the availability and cost of alternative fuels in the same manner as conventional fuels. Station owners must agree to display a Clean Cities decal on the refueling pumps. Decals will be provided by DOE. A letter of commitment from stations owners regarding these requirements must accompany the application.

Projects are evaluated on the value of cost share, and the type of in-kind services being offered, not necessarily the total declared value of the contribution in the application, although the minimum requirement must be met. For instance, in-kind services such as general office costs, which would be paid regardless of SEP funding, are valued much lower than a cash contribution tied directly to the project.

If project management costs are included in the budget, the project manager must be identified and his/her responsibilities described. Project management costs are not the same as administration costs.

If States intend to charge administration fees to process or monitor grants, these fees must be identified on Form 4600.4. If no fees are identified, DOE requires that 100% of the grant award go to the sub-grantee.

If the applicant requests funding from more than one special project category, a separate application for each category must be submitted for evaluation. Vehicle and infrastructure applications should clearly reference the other on the Application Cover Sheet as well as within the application in order to assure proper consideration. School bus and related infrastructure projects must be submitted as a combined application as described in the School Buses category. Please see the School Buses category for infrastructure projects related to school bus fleets.

Applications must include the Clean Cities AFV Refueling Infrastructure Application Cover Sheet (Attachment 1) which summarizes significant application elements.

EVALUATION CRITERIA: Applications that satisfy the qualification criteria identified above, will then be evaluated and ranked by the following criteria:

1. Probability of project success based on the technical feasibility of the project, thoroughness of project implementation plan, identification and qualifications of appropriate team members, and quality of supporting documentation (Applicants must provide fleet and financial letters of commitment, coalition support letter, letter identifying site location(s), station owner commitment letters, letters with equipment estimates from

site host.) The performance track record of recipients of all previous State Energy Program (SEP) Special Projects Clean Cities grants will be taken into account. Applicants must describe the status and results of all previous SEP Special Projects Clean Cities grants in the application. **(Weight 35)**

2. Energy security benefits as indicated by the estimated amount of fuel dispensed at alternative fuel refueling stations. **(Weight 35)**
3. Extent to which project will contribute to a sustainable alternative fuel market and potential for future growth without additional Federal funding and increasing awareness and acceptance of alternative fuels among target sectors in the local community including, but not limited to, current stakeholders, fleet operators, media, and the general public. The intent to display Clean Cities decals on infrastructure must be stated. **(Weight 20)**
4. Extent of proposed cost participation; amount of financial investment and cost participation from other coalition stakeholders and partners. **(Weight 10)**

Attachment 1.
AFV Refueling Infrastructure Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Non-Federal Cost Share Committed: \$

Amount of cost share in cash: \$

Non-Federal cost share partner:

Fuel(s):

New or Addition to Existing Station:

Estimated Annual Fuel Sales:

Shared Fleet Access:

Public Access:

Is project tied to AFV Incremental Cost project?

If yes, provide project number, number of AFVs, brief description of project.

ESTIMATED FUNDS AVAILABLE: \$400,000

ESTIMATED NUMBER OF PROJECTS: 2-3

FUNDING CEILINGS/EXPECTED RANGE OF FUNDING: \$200,000 maximum per project

COST SHARE: Vehicles: None. 100% of the incremental cost of the school buses is available
Infrastructure: 20% non-Federal cost share is required with 20% of this amount in cash for Infrastructure.

Incremental cost shall be based on the difference between the cost of the alternative fuel school bus and the cost of a comparable conventional model verified by manufacturer bid, after all other applicable manufacturer and local/State rebates and cash equivalent incentives are applied.

QUALIFICATION CRITERIA: States must submit special project applications in partnership with their local, officially-designated (or approved for designation) Clean Cities coalition. Only projects located in active, designated (or approved for designation) Clean Cities are eligible for funding. An “active” coalition is one with a valid and approved memorandum of understanding with DOE. “Approved for designation” means that DOE has authorized a designation ceremony for a coalition. A separate application for each coalition must be submitted. Failure to comply with this qualification criterion will deem the application non-responsive and will not be considered for comprehensive evaluation.

BACKGROUND AND OBJECTIVES: The goal of the U.S. Department of Energy’s (DOE) Clean Cities initiative is to decrease the nation’s dependence on petroleum in the transportation sector through public/private Clean Cities partnerships formed around the country by:

- Accelerating the development of a sustainable alternative fuels market
- Accelerating the use of idle reduction technologies
- Accelerating the use of hybrid vehicles
- Increasing the use of alternative fuel blends in petroleum fuels
- Promoting informed consumer choice on fuel economy

The Clean Cities initiative is offering funding for the incremental costs of alternative fuel school buses and the cost of refueling sites for these buses to assist in decreasing the nation’s dependence on petroleum by helping to grow the alternative fuels market.

PROJECTS REQUESTED/AREA OF INTEREST: Funding is available to support DOE’s Energy Smart Schools initiative. Clean Cities is interested in funding the incremental costs of alternative fuel school buses and a portion of the cost of refueling sites for these buses. Only school buses that will operate on Energy Policy Act of 1992 authorized alternative fuels are eligible (see http://www.eere.energy.gov/cleancities/vbg/whatis_epact.shtml to find a listing of authorized fuels). Projects involving the use of experimental vehicle technologies will not be funded. Applicants are encouraged to coordinate/partner with bus original equipment manufacturers, and other school bus fleets interested in similar vehicle platforms to maximize factory orders for specific bus types. Priority will be given to projects that are identified as being part of this type of industry consortium partnership. Alternative fuel school buses in this category

must use emissions certified engines. DOE has particular interest in funding larger projects of 5 or more new alternative fuel buses for one location, as well as alternative fuel bus fleet expansion projects.

Projects requesting funding assistance for both school buses and related refueling infrastructure are to be submitted as one combined application in this category. The refueling infrastructure components of the application can include new dispensing facilities, or additional equipment or upgrades and improvements to existing AFV refueling sites. Funding can be used to purchase equipment or to pay for specific turn-key fueling services by qualified AFV fuel providers. Include the fuel type, estimated fuel sales (i.e., fuel quantity based on fleet commitments, not the total capacity of the station), and the projected number of AFVs/buses that will use the facility. If other fleets will also be using this site, attach letters of commitment to that effect.

A detailed tutorial that describes how to prepare an application in this category is available online at www.eere.energy.gov/cleancities/pdfs/bustutor04.pdf. The tutorial includes a thorough discussion of critical project elements, technical requirements, and other information that is helpful in preparing a competitive application. Please note that if there are any discrepancies between the tutorial and the funding opportunity, the funding opportunity prevails.

Cost estimates for vehicles and infrastructure must be included.

The performance track record of applicants that have received previous DOE grants will be taken into account. Applicants must describe the status and results of all previous grants in the application.

If project management costs are included in the budget, the project manager must be identified and his/her responsibilities described. Project management costs are not the same as administration costs.

Applications must include the Clean Cities School Bus Application Cover Sheet (Attachment 1) which summarizes significant application elements.

EVALUATION CRITERIA:

Applications that satisfy the qualification criteria identified above, will then be evaluated and ranked by the following criteria:

1. Probability of project success based on the technical feasibility of the project, thoroughness of project implementation plan, identification and qualifications of appropriate team members, and quality of supporting documentation (i.e., fleet and financial letters of commitment, letters identifying site locations and letters with vehicle and infrastructure information.) **(Weight 35)**
2. Energy security benefits as indicated by the estimated amount of petroleum displaced as a result of this project and/or by the estimated alternative fuel used in the school buses. **(Weight 35)**
3. Extent to which project will contribute to a sustainable alternative fuel market, potential for future growth without additional Federal funding and probability of increasing awareness and acceptance of alternative fuels among target sectors in the local

community including, but not limited to, current stakeholders, fleet operators, media, and the general public. **(Weight 15)**

4. Anticipated project benefits, cost effectiveness of project based on the amount of petroleum displaced; cost per gallon displaced. Active participation from other coalition stakeholders and partners are strongly encouraged. **(Weight 15)**

Attachment 1.
Clean Cities School Bus Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Fuel Type(s):

Non-Federal Cost Share Committed for vehicles, if any:

Non-Federal Cost Share Committed for infrastructure:

Number of Heavy-Duty School Buses:

New or Addition to Existing Fleet:

Estimated Annual Petroleum Displacement:

Per vehicle:

Per project:

ESTIMATED FUNDS AVAILABLE: \$600,000

ESTIMATED NUMBER OF PROJECTS: 30

FUNDING CEILINGS/EXPECTED RANGE OF FUNDING: \$20,000

COST SHARE REQUIREMENTS: 50% non-Federal cost share is required with 50% of this amount in cash.

QUALIFICATION CRITERIA: States must submit special project applications in partnership with their local, officially-designated (or approved for designation) Clean Cities coalition. Only projects located in active, designated (or approved for designation) Clean Cities are eligible for funding. An “active” coalition is one with a valid and approved memorandum of understanding with DOE. “Approved for designation” means that DOE has authorized a designation ceremony for a coalition. A separate application for each coalition must be submitted. Failure to comply with this qualification criterion will deem the application non-responsive and will not be considered for comprehensive evaluation.

BACKGROUND AND OBJECTIVES: The goal of the U.S. Department of Energy's (DOE) Clean Cities initiative is to decrease the nation's dependence on petroleum in the transportation sector through public/private Clean Cities partnerships formed around the country by:

- Accelerating the development of a sustainable alternative fuels market
- Accelerating the use of idle reduction technologies
- Accelerating the use of hybrid vehicles
- Increasing the use of alternative fuel blends in petroleum fuels
- Promoting informed consumer choice on fuel economy*

*Since fuel economy strategies will be implemented at the national level, coalitions are not expected to devote time and resources to promote informed consumer choice on fuel economy. Coalitions have been informed of this strategy numerous times throughout 2004.

The Clean Cities initiative is offering coalition support funding to active, officially-designated (or officially-approved for designation) Clean Cities coalitions. Officially-designated (or officially-approved for designation) Clean Cities coalitions are the only parties eligible for this funding. This funding is offered to ensure that local Clean Cities coalitions are vibrant and active, with the ability to reduce the use of petroleum in their community.

Applications must include the Clean Cities Coalition Support Application Cover Sheet (Attachment 1) which summarizes significant application elements.

PROJECTS REQUESTED/AREAS OF INTEREST

Clean Cities coalitions are the force behind petroleum displacement activities in the geographic areas that they serve. They provide the organization, the motivation, and the staff to direct and sustain local activities. Activities can include, but are not limited to: facilitating the sales of alternative fuel vehicles (AFVs), hybrids, alternative fuels and blends, and idle reduction

technologies by interacting with perspective fleet customers and industries; organizing and holding Advancing the Choice events; developing fund-raising strategies and/or writing grant applications; holding public education and outreach campaigns; organizing and hosting stakeholder meetings; providing project management services to select Clean Cities projects; and promoting training.

Therefore, applicants are to provide concise discussions which address the following:

1. Past Performance - The past performance of recipients of Coalition Support grants will be considered. Applicants must describe the status and results of all previous DOE Coalition Support grants and specifically address the following for the period January through December 2004.
 - a. Activities completed by the coalition to reduce the use of petroleum; for example, increased the number of AFVs and the use of alternative fuels and blends, increased the number of refueling sites, increased the number of hybrids in fleets, and increased the use of idle reduction technology.
 - b. Barriers the coalition encountered to reduce the nation's dependence on petroleum and the actions taken to overcome those barriers.

The Clean Cities annual report provided by the coalition for January – December 2004 activity will also be used to evaluate past performance. Coalitions designated in 2004 were not required to submit an annual report; consequently, their past performance will be evaluated by petroleum displacement activity outlined in their program plan and activities listed in this application.

2. Commitment and Strategy to Achieve Clean Cities Goals – clearly define amount of time (number of hours per week) committed by coordinator to conduct the following Clean Cities activities and discuss plans to accomplish the following:
 - a. Help the nation to reduce its dependence on petroleum in the transportation sector
 - b. Organize and host at least one Advancing the Choice event per year in conjunction with an auto, truck, retrofitter, hybrid or idle reduction manufacturer with the intent to increase sales
 - c. Confirm the existence of all AFV refueling sites in the coalition area as shown in the Alternative Fuel Data Center (AFDC) station locator, or list provided to coalitions to be validated, and keep the AFDC informed of station openings and closings
 - d. Organize and host at least four stakeholder meetings per year
 - e. Meet with at least two local or state policy staff members per year to educate them on the benefits of alternative fuels, blends, idle reduction technologies, and other means to reducing the nation's dependence on petroleum
 - f. Attend the National Clean Cities Conference and the annual regional peer review meeting
 - g. Complete the Clean Cities annual report in the timeframe requested
 - h. Provide a progress report on activities a. - g. listed above, consistent with the award reporting requirements, and shall address at a minimum:
 - Update on the coalition's activities and success in meeting the Clean Cities goal to reduce the nation's dependence on petroleum
 - Advancing the Choice event printed invitation
 - Date AFDC was informed of refueling station changes
 - Stakeholder meeting agenda

- Names and affiliations of local or state policy staff members contacted, dates contacted, topics discussed, and outcomes
3. Cost Share – Applicants must clearly define the type of cost share proposed and the type of in-kind services being offered. In-kind services such as general office costs, which would be paid regardless of SEP funding, are valued much lower than a cash contribution. Consequently, applicants are advised to carefully consider and describe the type of cost share being proposed.

DOE recognizes that direct project management costs may be necessary. If project management costs are included in the budget, the project manager must be identified and his/her responsibilities described. Project management costs are not the same as administration costs.

EVALUATION CRITERIA AND SPECIAL REQUIREMENTS

Applications that satisfy the qualification criteria identified above, will then be evaluated and ranked by the following criteria:

1. Degree of successful past performance, and specifically, degree of success in reducing the nation's dependence on petroleum from January – December 2004. **(Weight 50)**
2. Evidence of commitment and reasonableness of plan to achieve project objectives. Evidence of ability to plan and host events defined in project area of interest. **(Weight 40)**
3. Extent of proposed cost participation; amount of financial investment and cost participation from other coalition stakeholders and partners. **(Weight 10)**

Attachment 1.
Clean Cities Coalition Support Application Cover Sheet

Applicant/State:

Coalition Name:

Year Designated:

City, State:

Coordinator:

Coordinator Employer:

Amount Requested:

Non-Federal Cost Share Committed: \$

Amount of cost share in cash: \$

Non-Federal cost share partner:

Hours coordinator spends on Clean Cities weekly:

Years current coordinator has held the position:

Was the coordinator position vacant for a portion of 2004?
If yes, please explain

Did the coalition receive a coalition support grant in 2004?

Did the coalition receive a coalition support grant in 2003?

Did the coordinator or a coalition representative
Attend the 10th National Clean Cities Conference
in Fort Lauderdale? _____ Coordinator _____ Representative
If no, please explain

Did the coordinator or a coalition representative
attend the 2004 regional peer review meeting? _____ Coordinator _____ Representative
If no, please explain

Did the coordinator or a coalition representative
attend Washington Day in February 2004? _____ Coordinator _____ Representative
If no, please explain

ESTIMATED FUNDS AVAILABLE: \$400,000

ESTIMATED NUMBER OF PROJECTS: 4 - 6

FUNDING CEILINGS/EXPECTED RANGE OF FUNDING: \$100,000 maximum per project.

COST SHARE: 50% non-Federal cost share is required with 30% of this amount in cash.

QUALIFICATION CRITERIA: States must submit special project applications in partnership with their local, officially-designated (or approved for designation) Clean Cities coalition. Only projects located in active, designated (or approved for designation) Clean Cities are eligible for funding. An “active” coalition is one with a valid and approved memorandum of understanding with DOE. “Approved for designation” means that DOE has authorized a designation ceremony for a coalition. A separate application for each coalition must be submitted. Failure to comply with this qualification criterion will deem the application non-responsive and will not be considered for comprehensive evaluation.

BACKGROUND AND OBJECTIVES: The goal of the U.S. Department of Energy's (DOE) Clean Cities initiative is to decrease the nation's dependence on petroleum in the transportation sector through public/private Clean Cities partnerships formed around the country by:

1. Accelerating the development of a sustainable alternative fuels market
2. Accelerating the use of idle reduction technologies
3. Accelerating the use of hybrid vehicles
4. Increasing the use of alternative fuel blends in petroleum fuels
5. Promoting informed consumer choice on fuel economy

PROJECTS REQUESTED/AREA OF INTEREST: Funding is available for projects that promote the reduction and/or elimination of idling by heavy-duty vehicles and/or school buses through the use of idle reduction technologies. Projects that deploy and evaluate on-board technologies to provide hotel loads, such as cab heating and cooling, are of special interest. A commitment and plan for collecting and reporting the petroleum savings; idle reduction technology performance, maintenance, reliability, cost data; and driver acceptance must be included in the application.

Applications must be adequately documented and describe the number and types of equipment to be used; number and types of vehicles that will use the equipment; a description of the fleet that includes usual routes, annual miles traveled per vehicle, and annual amount of petroleum used per vehicle. Describe the project team. Hardware cost estimates must be included.

Projects are evaluated on the value of cost share, and the type of in-kind services being offered, not necessarily the total declared value of the contribution in the application, although the minimum requirement must be met. For instance, in-kind services such as general office costs, which would be paid regardless of SEP funding, are valued much lower than a cash contribution tied directly to the project.

If States intend to charge administration fees to process or monitor grants, these fees must be identified on Form 4600.4. If no fees are identified, DOE requires that 100% of the grant award go to the sub-grantee.

If project management costs are included in the budget, the project manager must be identified and his/her responsibilities described. Project management costs are not the same as administration costs.

Applications must include the Clean Cities Idle Reduction Application Cover Sheet (Attachment 1) which summarizes significant application elements.

EVALUATION CRITERIA:

Applications that satisfy the qualification criteria identified above, will then be evaluated and ranked by the following criteria:

1. Probability of project success based on the technical feasibility of the project, thoroughness of project implementation plan, identification and qualifications of appropriate team members, and quality of supporting documentation (i.e., fleet and financial letters of commitment, coalition support letter, letters identifying site location(s), letters with equipment estimate information.) The plan for collecting and reporting the reduction in the use of petroleum; idle reduction technology performance, maintenance, reliability, and cost data; and driver acceptance will be evaluated to determine the probability of success. The performance track record of recipients of all previous State Energy Program (SEP) Special Projects Clean Cities grants will be taken into account. Applicants must describe the status and results of all previous SEP Special Projects Clean Cities grants in the application. Projects that deploy and evaluate on-board technologies to provide hotel loads, such as cab heating and cooling are highly valued. **(Weight 40)**
2. Energy security benefits as indicated by the estimated amount of the petroleum displaced by the reduction and/or elimination of idling by the heavy-duty vehicles and/or school buses through the introduction of idle reduction technologies. **(Weight 40)**
3. Extent of proposed cost share participation; amount of financial investment and cost participation from other coalition stakeholders and partners. **(Weight 20)**

Attachment 1.
Clean Cities Idle Reduction Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Non-Federal Cost Share Committed:

Idle Reduction Technology to be used:

Number of Heavy-Duty Vehicles or School Buses Impacted:

Estimated Annual Petroleum Displacement:

Per vehicle:

Per total project:

CLEAN CITIES INCREMENTAL COST OF HEAVY-DUTY HYBRID ELECTRIC VEHICLES (HEVs): DE-PS26-05NT42396-01F

ESTIMATED FUNDS AVAILABLE: \$200,000

ESTIMATED NUMBER OF PROJECTS: 1 -2

FUNDING CEILINGS/EXPECTED RANGE OF FUNDING: \$200,000 maximum per project

COST SHARE REQUIREMENTS: None. 100% of the incremental cost of the heavy-duty HEVs is available.

QUALIFICATION CRITERIA: States must submit special project applications in partnership with their local, officially-designated (or approved for designation) Clean Cities coalition. Only projects located in active, designated (or approved for designation) Clean Cities are eligible for funding. An “active” coalition is one with a valid and approved memorandum of understanding with DOE. “Approved for designation” means that DOE has authorized a designation ceremony for a coalition. A separate application for each coalition must be submitted. Failure to comply with this qualification criteria will deem the application non-responsive and will not be considered for comprehensive evaluation.

BACKGROUND AND OBJECTIVES: The goal of the U.S. Department of Energy’s (DOE) Clean Cities initiative is to decrease the nation’s dependence on petroleum in the transportation sector through public/private Clean Cities partnerships formed around the country by:

- Accelerating the development of a sustainable alternative fuels market
- Accelerating the use of idle reduction technologies
- Accelerating the use of hybrid vehicles
- Increasing the use of alternative fuel blends in petroleum fuels
- Promoting informed consumer choice on fuel economy

PROJECTS REQUESTED/AREA OF INTEREST: Funding is available for the incremental cost of new highway-certified heavy-duty HEVs. Incremental costs for heavy-duty HEVs must be calculated based on the net price difference between the proposed heavy-duty HEV and a similarly equipped, conventional fuel vehicle after all other applicable manufacturer and local/State rebates and cash equivalent incentives are applied. Information, based on manufacturer bids, must be included in the application to support the costs of the heavy-duty HEVs to be acquired.

Estimates of conventional fuel displacement shall be provided both per vehicle, and in total, over the projected ownership period of the heavy-duty HEVs (not the heavy-duty HEV lifetime). Fuel displacement shall be based on the fuel consumption of a comparable conventional fuel vehicle whether heavy-duty HEVs are replacing older vehicles or are additions to the existing fleet.

Projects are sought that will contribute to a sustainable heavy-duty HEV market and potential for future growth without additional Federal funding. Evidence of this shall be provided as part of an explanation of the fleet’s future operating plans.

Heavy-duty HEVs that are acquired with SEP Special Project funds must display a Clean Cities decal that will be provided by DOE. Applications must describe how local communities, stakeholders, fleet operators, media and the general public will learn about the benefits of heavy-duty HEVs.

If project management costs are included in the budget, the project manager must be identified and his/her responsibilities described. Project management costs are not the same as administration costs.

Applications must include the Clean Cities Heavy-Duty HEV Cover Sheet (Attachment 1) which summarizes significant application elements.

EVALUATION CRITERIA: Applications that satisfy the qualification criteria identified above, will then be evaluated and ranked by the following criteria:

1. Probability of project success based on the technical feasibility of the project, thoroughness of project implementation plan, identification and qualifications of appropriate team members, past performance of the team members, and quality of supporting documentation; that is, fleet and financial letters of commitment, letters with heavy-duty HEV cost estimates, and a coalition support letter. The application should demonstrate that the team has sufficient expertise and experience to bring the project to a successful conclusion. Successful prior project management experience with heavy-duty HEV deployment and the performance track record of recipients of all previous State Energy Program (SEP) Special Projects Clean Cities grants will be taken into account. Applicants must describe the status and results of all previous SEP Special Projects Clean Cities grants in the application. **(Weight 35)**
2. Energy security benefits indicated by fuel displacement per vehicle. Estimates of fuel displacement must be provided both per vehicle and in total. **(Weight 35)**
3. Probability of increasing awareness and acceptance of heavy-duty HEVs among target sectors in the local community including, but not limited to, current stakeholders, fleet operators, media, and the general public. The intent to display Clean Cities decals on heavy-duty HEVs must be stated. **(Weight 20)**
4. Anticipated project benefits, cost effectiveness of project based on the amount of petroleum displaced; cost per gallon displaced. Active participation from other coalition stakeholders and partners are strongly encouraged. **(Weight 10)**

Attachment 1.
Incremental Cost of Heavy-Duty HEVs Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Non-Federal Cost Share Committed, if any:

Number of Heavy-Duty HEVs:

New or Addition to Existing Fleet:

Estimated Annual Petroleum Displacement:

Per vehicle:

Per project:

Clean Cities Coalition Checklist and Certification

Applicant: _____

Contact Person: _____ Phone: _____ Email: _____

Project Name: _____

Program Category: _____

Certify **only** complete and fully documented proposals. Proposals initially screened and found to be incomplete based on this Checklist will be returned immediately to the Applicant and the Coordinator notified.

This proposal contains the following documents:

Attachment 1 - Cover Sheet for:

Incremental Cost of AFVs
AFV Refueling Infrastructure
Clean Cities School Bus
Clean Cities Coalition Support
Incremental Cost of Heavy-Duty HEVs

Letter of Support from your local, officially designated Clean Cities Coalition

Application for Federal Assistance - Form SF 424

Federal Assistance Budget Information - DOE F 4600.4

Budget Explanation for Financial Assistance Awards to Commercial, Non-Profits, Universities,
and Indian Tribes - GO-PF20(Std)

or

Budget Explanation and Other Requirements for Financial Assistance Awards to State and
Local Governments - GO-PF20(SL)

Project Summary/Abstract – NETL F 540.1-2

Project Narrative

Statement of Project Objectives

Attachment 1 - Letter(s) of Commitment with electronic signature

Attachment 2 - Personnel Resources

Attachment 3 - FFRDC Attachment (if applicable)

Attachment 4 - Special Projects Conference/Workshop Project Information Form (if applicable)

I certify that this proposal has been reviewed and contains all required documents necessary for submittal to the U.S. Department of Energy, National Energy Technology Laboratory. In addition, this Coalition supports this project and encloses a Letter of Support recommending this proposal for funding.

Signature

Date

Name: _____

Coalition: _____

Telephone: _____

Fax: _____

Email: _____

APPLICATION FOR FEDERAL ASSISTANCE

Version 9/03

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-construction		2. DATE SUBMITTED		Applicant Identifier	
Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE		State Application Identifier	
		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	
5. APPLICANT INFORMATION					
Legal Name:			Organizational Unit:		
			Department:		
Organizational DUNS:			Division:		
Address:			Name and telephone number of person to be contacted on matters involving this application (give area code)		
Street:			Prefix:		First Name:
City:			Middle Name:		
County:			Last Name:		
State:		Zip Code:		Suffix:	
Country:			Email:		
6. EMPLOYER IDENTIFICATION NUMBER (EIN): [][] - [][][][][][][][]			Phone Number (give area code)		FAX Number (give area code)
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) [] [] Other (specify)			7. TYPE OF APPLICANT: (See back of form for Application Types) Other (specify)		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: [][] - [][][][]			9. NAME OF FEDERAL AGENCY:		
TITLE (Name of Program)			11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT:		
12. AREAS AFFECTED BY PROJECT (Cities, Countries, States, etc.)					
13. PROPOSED PROJECT			14. CONGRESSIONAL DISTRICTS OF:		
Start Date		Ending Date		a. Applicant	
				b. Project	
15. ESTIMATED FUNDING:			16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?		
a. Federal	\$			a. YES. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON	
b. Applicant	\$			DATE:	
c. State	\$			b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
d. Local	\$			<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
e. Other	\$			17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
f. Program Income	\$			<input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
g. TOTAL	\$				
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES.					
a. Authorized Representative					
Prefix		First Name		Middle Name	
Last Name				Suffix	
b. Title				c. Telephone Number (give area code)	
Email:				Fax Number (give area code)	
d. Signature of Authorized Representative				e. Date Signed	

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item	Entry	Item	Entry
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant including country), and name, telephone number, email and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District </div> <div style="width: 45%;"> I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization </div> </div>	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: <ul style="list-style-type: none"> "New" means a new assistance award. "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">A. Increase Award C. Increase Duration</div> <div style="width: 45%;">B. Decrease Award D. Decrease Duration</div> </div> 	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

U.S. DEPARTMENT OF ENERGY
Federal Assistance Budget Information

OMB Control No.
1910-0400

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 1.87 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management, AD-241.2 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

1. Program/Project Identification No.		2. Program/Project Title				
3. Name and Address				4. Program/Project Start Date		
				5. Completion Date		
SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal	Non-Federal	Federal	Non-Federal	Total
1.						
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity				Total (5)	
	(1)	(2)	(3)	(4)		
a. Personnel	\$	\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges						
j. Indirect Charges						
k. TOTALS	\$	\$	\$	\$	\$	
7. Program Income	\$	\$	\$	\$	\$	

FEDERAL ASSISTANCE BUDGET INFORMATION

INSTRUCTIONS

- Item 1 - Enter the Federal grant or agreement identification number for the current year as it appears in the official award, if known.
- Item 2 - Enter the Program/Project official title as it appears in the award.
- Item 3 - Enter the name and address of the agency or office responsible for coordination and administration of the Program/Project.
- Item 4 - Enter the official start date.
- Item 5 - Enter the official completion date as of the latest official modification.

Section A. Budget Summary

Lines 1-4, Columns (a) and (b).

For applications pertaining to a single Federal assistance program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project.

For continuing assistance program applications, submit these forms before the end of each funding year if required by Program Manager. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the funding period only if the award instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amount of funds needed for the

upcoming period. The amount(s) in Column (g) should be the sum of the amounts in Columns (e) and (f).

For supplemental awards and changes to existing awards, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of the amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Item 6a-h - Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Item 6i - Show the totals of Lines 6a to 6h in each column.

Item 6j - Show the amount of indirect cost.

Item 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new and continuation awards, the total amount in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental awards and changes to awards, the total amount of the increase or decrease as shown in Columns (1) - (4), Line 6k, should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Item 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Program Manager in determining the total amount of the award.

THIS REPORT IS REQUIRED IN ACCORDANCE WITH 42 U.S.C. 7254 AND 40 U.S.C. 471 ET SEQ. FAILURE TO REPORT MAY RESULT IN CONTRACT TERMINATION OR PENALTIES AS PROVIDED BY LAW.

U.S. DEPARTMENT OF ENERGY
GOLDEN FIELD OFFICE



**BUDGET EXPLANATION FOR FINANCIAL ASSISTANCE AWARDS TO
COMMERCIAL, NON-PROFITS, UNIVERSITIES, AND INDIAN TRIBES**

Applicant: _____ Budget Period – From: _____ To: _____
Award/Proposal Number: _____ Amendment Number: _____

INFORMATION REQUESTED ON THIS FORM MAY BE PROVIDED IN THE
RECIPIENT'S FORMAT OR INCLUDED ON THIS FORM.

THE BUDGET MUST INCLUDE TOTAL PROJECT COSTS [DOE REQUESTED FUNDS PLUS APPLICANT AND THIRD PARTY PARTICIPANT (TEAM MEMBER(S)) COST SHARE AMOUNT]. The purpose of this form is to explain and justify all project costs identified on the SF424A, including Federal (DOE), Non-Federal (Applicant), and all cost share amounts, such as third party cost share and third party in-kind match. Applicants should fill out one GO-PF20 and include details on all SF424A budget items that would be expended and recorded through their budget office or be directly attributed to their organization through in-kind services. In addition, each sub-participant over the dollar threshold identified in the Contractual section should fill out one GO-PF20 that includes details on all SF424A budget items that would be expended and recorded through their budget offices or be directly attributed to their organization through in-kind services.



1. BUDGET INFORMATION

LIST ONLY THE APPLICANT'S PORTION OF COSTS IN ALL SECTIONS EXCEPT FOR SECTION 1.f., WHICH SHOULD INCLUDE ALL COSTS FROM OTHER (NON-APPLICANT RECIPIENT) PERSONNEL

- a. **PERSONNEL** - List costs solely for employees of the Applicant. All other Participant (third party) personnel costs must be included under the Contractual (Item 1.f. below and on form SF424A, Section B, line 6.f. Contractual)

Identify positions to be supported under the proposed award. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (i.e., hours) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., labor distribution report, technical estimate, state civil service rates, etc.).

<u>Title/Group</u>	<u>Time</u>	X	<u>Pay Rate</u>	=	<u>(Total Compensation)</u>	<u>Rate Basis</u>
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- To add more rows, select "View", "Toolbars", "Forms". Click on  the Highlight one or more rows, "Copy", place the cursor under the last row, then "Paste". Click on  the again.



b. FRINGE BENEFITS - A Federal Fringe Benefit Rate Agreement or proposal is required. A Sample RateProposal, GO-PF20b is available on http://www.go.doe.gov/application_forms.html. Please check one of the boxes below.

- ☐ An approved Federal fringe benefit rate agreement has been previously submitted to DOE.
- ☐ An approved Federal Fringe Benefit rate agreement is in effect or pending and has not previously been submitted to DOE. A copy is attached which identifies the Federal agency point of contact.
- ☐ A current Federal fringe rate agreement is not in effect or pending. Attached is a rate proposal which includes the following:
- A list of the current total yearly benefit accounts and costs that comprises total fringe benefits.
 - An explanation of the base used and the amount applied to develop the fringe rate.

c. TRAVEL - Identify total Foreign and Domestic Travel as separate items.


- Are travel costs governed by organizational travel policies? ☐ Yes ☐ No
If no, provide basis for estimating costs.
- For all travel provide information below. (Example: conferences, DOE sponsored meetings, project mgmt, etc.)

<u>Purpose of travel</u>	<u>Estimated No. of trips</u>	<u>Estimated Cost per trip</u>
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- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”. Click on  the again.

d. EQUIPMENT - Generally defined as an item with an acquisition cost excess of \$5,000 and a useful life expectancy of more than one year. Further definitions can be found at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html
List the proposed equipment below and briefly justify its need as it applies to the Statement of Objectives.



<u>Equipment Item</u>	<u>Est. Unit cost</u>	<u>Number of Units</u>	<u>Basis of Cost</u>	<u>Justification of need</u>
-----------------------	-----------------------	------------------------	----------------------	------------------------------

- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”.

Click on  the again.



- e. **SUPPLIES** - Generally defined is an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Further definitions can be found at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html
Provide the information below for supplies that total \$25,000 or are greater than 20% of total costs for the project, whichever is less. (Basis of cost -- vendor quotes, prior purchases of similar or like items, published price list, etc.).

<u>General category of supplies</u>	<u>Cost</u>	<u>Basis of cost</u>	<u>Justification of need</u>
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- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the
Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”.
Click on  the again.

- f. **CONTRACTUAL** - Sections 600.144 sets forth standards for use by recipients in establishing procedures for the procurement of supplies and other expendable property, equipment, real property and other services with Federal funds.

List all Participant [subcontract(s), sub-grant(s), and consultant(s)] costs including their cost share. Do not list vendors that provide goods and services. Go to the following website for further information:
http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html

- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the
Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”.
Click on  the again.



- For each Participant with a total estimated cost (including cost share) in excess of \$100,000, or 50% of total costs (whichever is less), provide (i) a Statement of Work, (ii) a SF424A Federal Assistance Budget Information, and (iii) either a completed GO-PF20 or a cost proposal that includes the same information.
- Provide a sole source justification for any Participant not competitively selected with estimated project costs over \$100,000.
- For support for which a Participant has not been identified, provide a scope of work and basis of cost estimate.

- g. **CONSTRUCTION** - Construction, for the purpose of budgeting, means all types of work done on a particular

building, including erecting, altering, or remodeling.

1. Identify the proposed construction costs, identifying the Participant to perform the construction.



<u>Participant Name</u>	<u>Total Cost</u>	<u>Cost Share</u>	<u>Short Work Description</u>
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- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”. Click on  the again.
- 2. For each selected participant, provide (i) a Statement of Objectives, (ii) either a cost proposal or a completed GO-PF20 and (iii) a SF424A Federal Assistance Budget Information.
- 3. Provide a sole source justification for any Participant not competitively selected with estimated project costs over \$100,000.
- 4. For support for which a Participant has not been selected, provide a scope of work and basis of cost estimate.

h. OTHER DIRECT COSTS - Other direct costs are items that cannot be properly included in the above categories.

Provide the information below for other direct costs that total \$25,000 or are greater than 20% of total costs for the project, whichever is less. (Basis of cost -- vendor quotes, prior purchases of similar or like items, published price list, etc.).

<u>General description</u>	<u>Cost</u>	<u>Basis of cost</u>	<u>Justification of need</u>
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- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”. Click on  the again.



i. INDIRECT COSTS - A Federal Indirect Rate Agreement or proposal is required. A Sample Rate Proposal, GO-PF20b is available on http://www.go.doe.gov/application_forms.html. Please check one of the boxes below.

- ☐ An approved Federal approved indirect cost rate agreement has been submitted to the Golden Field Office.
- ☐ An approved Federal indirect cost rate agreement is in effect or pending and has not previously been submitted to DOE. A copy is attached which identifies the Federal agency point of contact.
- ☐ A current Federal approved indirect cost rate agreement is not in effect or pending. An indirect cost rate proposal is attached which includes the following:
- List the accounts and amounts that comprise the total direct and indirect costs.
 - Explain each base used and amount applied to develop each indirect rate per pool .
 - Calculate the Indirect Rate(s) and enter the total amount in Section B, line 6.j. Indirect Charges on Form

2. ADDITIONAL INFORMATION**COST SHARE**

1. Identify the amount of cost sharing proposed by the Applicant and each Participant and the total amount as a percent of the total cost of the project. Cost sharing from other Federal sources cannot be counted as non-Federal Recipient contributions, unless specifically allowed in the solicitation. Non-Federal sources include private, state or local Government, or any sources that were not originally derived from Federal funds.

<u>Organization</u>	<u>Item</u>	<u>Amount</u>	<u>Type (cash, in-kind, etc.)</u>
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- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”. Click on  the again.

Total Project Cost:	\$	Cost Share	\$	Cost Share Percent:	%
	_____	Amount:	_____		_____

2. For each cost share contribution identified as an in-kind contribution, please describe how the value of the in-kind contribution was derived.

U.S. DEPARTMENT OF ENERGY
GOLDEN FIELD OFFICE



**BUDGET EXPLANATION AND OTHER REQUIREMENTS FOR
FINANCIAL ASSISTANCE AWARDS TO
STATE AND LOCAL GOVERNMENTS**

Applicant: _____ Budget Period – From: _____ To: _____
Award/Proposal Number: _____ Amendment Number: _____

INFORMATION REQUESTED ON THIS FORM MAY BE PROVIDED IN THE
RECIPIENT'S FORMAT OR INCLUDED ON THIS FORM.

THE BUDGET MUST INCLUDE TOTAL PROJECT COSTS [DOE REQUESTED FUNDS PLUS APPLICANT AND THIRD PARTY PARTICIPANT (TEAM MEMBER(S)) COST SHARE AMOUNT]. The purpose of this form is to explain and justify all project costs identified on the SF 424A, including Federal (DOE), Non-Federal (State/Applicant), and all cost share amounts, such as third party cost share and third party in-kind match. Applicants should fill out one GO-PF20(SL) and include details on all SF424A budget items that would be expended and recorded through their budget office or be directly attributed to their organization through in-kind services. In addition, each sub-participant should fill out one GO-PF20(SL) or GO-PF20, as appropriate, that includes details on all SF424A budget items that would be expended and recorded through their budget offices or be directly attributed to their organization through in-kind services.


1. BUDGET INFORMATION

LIST ONLY THE APPLICANT'S PORTION OF COSTS IN ALL SECTIONS EXCEPT FOR SECTION 1.f., WHICH SHOULD INCLUDE ALL COSTS FROM OTHER (NON-APPLICANT RECIPIENT) PERSONNEL

- a. **PERSONNEL** - List costs solely for employees of the Applicant. All other Participant (third party) personnel costs must be included under the Contractual (Item 1.f. below and on form SF424A, Section B, line 6.f. Contractual)

Identify positions to be supported under the proposed award. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (i.e., hours) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., labor distribution report, technical estimate, state civil service rates, etc.).

<u>Title/Group</u>	<u>Time</u>	X	<u>Pay Rate</u>	=	<u>(Total Compensation)</u>	<u>Rate Basis</u>
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- To add more rows, select "View", "Toolbars", "Forms". Click on  the Highlight one or more rows, "Copy", place the cursor under the last row, then "Paste".

Click on  the again.



- b. **FRINGE BENEFITS** - A Federal Fringe Benefit Rate Agreement or proposal is required. A Sample Rate Proposal, GO-PF20b is available on http://www.go.doe.gov/application_forms.html. Please check one of the boxes below.

- ☐ An approved Federal fringe benefit rate agreement has been previously submitted to DOE.
- ☐ An approved Federal Fringe Benefit rate agreement is in effect or pending and has not previously been submitted to DOE. A copy is attached which identifies the Federal agency point of contact.
- ☐ A current Federal fringe rate agreement is not in effect or pending. Attached is a rate proposal which includes the following:
- A list of the current total yearly benefit accounts and costs that comprises total fringe benefits.
 - An explanation of the base used and the amount applied to develop the fringe rate.

- c. **TRAVEL** - Identify total Foreign and Domestic Travel as separate items.



- Are travel costs governed by organizational travel policies? ☐ Yes ☐ No
If no, provide basis for estimating costs.
- For all travel provide information below. (Example: conferences, DOE sponsored meetings, project mgmt, etc.)

<u>Purpose of Travel</u>	<u>Estimated No. of Trips</u>	<u>Estimated Cost Per Trip</u>
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- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”. Click on  the again.



- d. **EQUIPMENT** - Generally defined as an item with an acquisition cost excess of \$5,000 and a useful life expectancy of more than one year. Further definitions can be found at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html. List the proposed equipment below and briefly justify its need as it applies to the Statement of Objectives.

<u>Equipment Item</u>	<u>Est. Unit Cost</u>	<u>Number of Units</u>	<u>Basis of Cost</u>	<u>Justification of Need</u>
-----------------------	-----------------------	------------------------	----------------------	------------------------------

- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the
Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”.
Click on  the again.

- e. **SUPPLIES** - Generally defined is an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Further definitions can be found at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html. Provide the information below for supplies that total \$25,000 or are greater than 20% of total costs for the project, whichever is less. (Basis of cost -- vendor quotes, prior purchases of similar or like items, published price list, etc.).

<u>General Category of Supplies</u>	<u>Cost</u>	<u>Basis of Cost</u>	<u>Justification of Need</u>
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- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the
Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”.
Click on  the again.

- f. **CONTRACTUAL** - Section 600.236 sets forth standards for use by recipients in establishing procedures for the procurement of supplies and other expendable property, equipment, real property and other services with Federal funds.

List all Participant [subcontract(s), sub-grant(s), and consultant(s)] costs including their cost share. Do not list vendors that provide goods and services. Go to the following website for further information:

http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html

<u>Participant Name</u>	<u>Total Cost</u>	<u>Cost Share</u>	<u>Short Work Description</u>
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- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the
Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”.
Click on  the again.

- a. For each Participant with a total estimated cost (including cost share) in excess of \$100,000, or 50% of total



costs (whichever is less), provide (i) a Statement of Work, (ii) a SF424A Federal Assistance Budget Information, and (iii) either a completed GO-PF20 or a cost proposal that includes the same information.

- b. Provide a sole source justification for any Participant not competitively selected with estimated project costs over \$100,000.
- c. For support for which a Participant has not been identified, provide a scope of work and basis of cost estimate.

g. CONSTRUCTION - Construction, for the purpose of budgeting, means all types of work done on a particular building, including erecting, altering, or remodeling.

1. Identify the proposed construction costs, identifying the Participant to perform the construction.



<u>Participant Name</u>	<u>Total Cost</u>	<u>Cost Share</u>	<u>Short Work Description</u>
-------------------------	-------------------	-------------------	-------------------------------

- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”. Click on  the again.
- 2. For each selected participant, provide (i) a Statement of Objectives, (ii) either a cost proposal or a completed GO-PF20 and (iii) a SF424A Federal Assistance Budget Information.
- 3. Provide a sole source justification for any Participant not competitively selected with estimated project costs over \$100,000.
- 4. For support for which a Participant has not been selected, provide a scope of work and basis of cost estimate.

h. OTHER DIRECT COSTS - Other direct costs are items that cannot be properly included in the above categories.

Provide the information below for other direct costs that total \$25,000 or are greater than 20% of total costs for the project, whichever is less. (Basis of cost -- vendor quotes, prior purchases of similar or like items, published price list, etc.).

<u>General Description</u>	<u>Cost</u>	<u>Basis of Cost</u>	<u>Justification of Need</u>
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- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”. Click on  the again.

i. **INDIRECT COSTS** - A Federal Indirect Rate Agreement or proposal is required. A Sample Rate Proposal, GO-PF20b is available on http://www.go.doe.gov/application_forms.html. Please check one of the boxes below.

- ☐ An approved Federal approved indirect cost rate agreement has been submitted to the Golden Field Office.
- ☐ An approved Federal indirect cost rate agreement is in effect or pending and has not previously been submitted to DOE. A copy is attached which identifies the Federal agency point of contact.
- ☐ A current Federal approved indirect cost rate agreement is not in effect or pending. An indirect cost rate proposal is attached which includes the following:

List the accounts and amounts that comprise the total direct and indirect costs.



- Explain each base used and amount applied to develop each indirect rate per pool.
- Calculate the Indirect Rate(s) and enter the total amount in Section B, line 6.j. Indirect Charges on Form SF424A.

2. **ADDITIONAL INFORMATION**

a. **COST SHARE**

- Identify the amount of cost sharing proposed by the Applicant and each Participant and the total amount as a percent of the total cost of the project. Cost sharing from other Federal sources cannot be counted as non-Federal Recipient contributions, unless specifically allowed in the solicitation. Formula grant funding may not be used to satisfy cost share requirements. Non-Federal sources include private, state or local Government, or any sources that were not originally derived from Federal funds.

<u>Organization</u>	<u>Item</u>	<u>Amount</u>	<u>Type (cash, in-kind, etc.)</u>
---------------------	-------------	---------------	-----------------------------------

- To add more rows, select “View”, “Toolbars”, “Forms”. Click on  the Highlight one or more rows, “Copy”, place the cursor under the last row, then “Paste”. Click on  the again.

Total Project Cost:	\$	Cost Share	\$	Cost Share Percent:	%
	_____	Amount:	_____		_____

- For each cost share contribution identified as an in-kind contribution, please describe how the value of the in-kind contribution was derived.

b. RIGHTS IN APPLICATION DATA

It is DOE policy for a grant award based on a proposal that, in consideration of the award, the Government shall obtain unlimited rights in the technical data contained in the proposal unless the Applicant marks those portions of the technical information which he asserts as "proprietary data" or specifies those portions of such technical data which are not directly related to or will not be utilized in the work to be funded under the award.

Accordingly, please indicate:

- ☐ No restrictions on Government rights in the proposal technical data; or
- ☐ The following identified technical data is proprietary or is not directly related to or will not be utilized in the work to be funded under the award:

c. IDENTIFICATION OF TECHNICAL DATA WHICH IS PROPRIETARY

The Rights in Technical Data clause proposed to be used for this award may not permit the utilization of proprietary data in the performance of this award or, if the use of proprietary data is permitted, may not be adequate to meet programmatic requirements. Use of data which is proprietary may prevent you from meeting the data requirements of the award (including delivery of data). Your attention is particularly drawn to the use of Applicant's PROPRIETARY LICENSED COMPUTER SOFTWARE.

Please indicate that you have reviewed the requirements in the technical scope of work and to the best of your knowledge:

- ☐ No proprietary data will be utilized in the performance of this award.
- ☐ Proprietary data as follows will be utilized in the performance of this award:
- ☐ Applicant PROPRIETARY LICENSED COMPUTER SOFTWARE will NOT be utilized in the performance of this award.
- ☐ Applicant PROPRIETARY LICENSED COMPUTER SOFTWARE as follows will be utilized in the performance of this award:

U.S. DEPARTMENT OF ENERGY PROJECT SUMMARY SHEET

For additional instructions when completing this form, place the cursor inside the subject field and note the information provided in the status bar at the bottom of the screen.

Funding Opportunity Announcement Number:					
Project Title:					
Topic Area/Program Area of Interest: 00 -					
Organization:				Department, Division or Unit:	
Organization Type:			specify if other:		
DUNS Number:			Project Duration (months):		
U.S. Congressional District of Organization:			County of Organization:		
BUSINESS OFFICER (BO)					
BO Name: <i>(Prefix, First, Middle, Last, Suffix)</i>			BO Title:		
BO Address: <i>(City, State, Zip-4)</i> , -			Country:		
			BO Phone: ext.		
			BO Fax:		
			BO email:		
PRINCIPAL INVESTIGATOR (PI)					
PI Name: <i>(Prefix, First, Middle, Last, Suffix)</i>			PI Title:		
PI Address: <i>(City, State, Zip-4)</i> , -			Country:		
			PI Phone: ext.		
			PI Fax:		
			PI email:		
POINT OF CONTACT (POC) FOR COORDINATION, PREPARATION AND DISTRIBUTION OF PRESS RELEASES					
POC Name: <i>Prefix, First, Middle, Last, Suffix)</i>			POC Title:		
POC Address: <i>(City, State, Zip-4)</i> , -			Country:		
			POC Phone: ext.		
			POC Fax:		
			POC email:		
FUNDING REQUIREMENTS					
<u>Funding Source</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Total</u>
DOE <i>(Federal funding requested for recipients, excluding National Laboratories)</i>	\$	\$	\$	\$	\$
Applicant <i>(Applicant provided funding, including all partners)</i>	\$	\$	\$	\$	\$
Other: <i>(Specify other funding provided thru National Laboratories, State Programs, etc.)</i>	\$	\$	\$	\$	\$
Total Funding Requested	\$	\$	\$	\$	\$

APPLICATION PARTNERING ORGANIZATIONS				
PARTNERING ORGANIZATION 1				
Name:				
City:	State:	County:	Country:	Cong. Dist.:
Contribution:				
PARTNERING ORGANIZATION 2				
Name:				
City:	State:	County:	Country:	Cong. Dist.
Contribution:				
PARTNERING ORGANIZATION 3				
Name:				
City:	State:	County:	Country:	Cong. Dist.
Contribution:				
PARTNERING ORGANIZATION 4				
Name:				
City:	State:	County:	Country:	Cong. Dist.
Contribution:				
PARTNERING ORGANIZATION 5				
Name:				
City:	State:	County:	Country:	Cong. Dist.:
Contribution:				
PARTNERING ORGANIZATION 6				
Name:				
City:	State:	County:	Country:	Cong. Dist.
Contribution:				
PARTNERING ORGANIZATION 7				
Name:				
City:	State:	County:	Country:	Cong. Dist.
Contribution:				
PARTNERING ORGANIZATION 8				
Name:				
City:	State:	County:	Country:	Cong. Dist.
Contribution:				
PARTNERING ORGANIZATION 9				
Name:				
City:	State:	County:	Country:	Cong. Dist.
Contribution:				
PARTNERING ORGANIZATION 10				
Name:				
City:	State:	County:	Country:	Cong. Dist.
Contribution:				
For more than 10 Partnering Organizations, please provide the above information in the space provided below.				
ADDITIONAL PARTNERING ORGANIZATIONS				

ABSTRACT OF PROJECT

In the space below include a public abstract of not more than one (1) single spaced typewritten page clearly stating the objectives of the proposed research, the title of the project, methodology, and sponsoring organization(s). This self-contained document should be suitable for publication and identify objectives of the project, methods to be employed, and the potential impact of the project (i.e., benefits, out comes). It should be informative to other persons working in the same or related fields and, insofar as possible, understandable to a lay reader. This document must not include any proprietary or sensitive business information as the Department may make it available to the public.

Attachment 1.
Incremental Cost of AFVs Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Non-Federal Cost Share Committed, if any: \$

Number and Type of AFVs:

<u>Number</u>	<u>Fuel</u>	<u>OEM/Retrofitted</u>	<u>Light-, Medium-, Heavy-Duty</u>
---------------	-------------	------------------------	------------------------------------

New or Addition to Existing Fleet:

Estimated Annual Petroleum Displacement:

Per vehicle:

Per project:

Is project tied to AFV Refueling Infrastructure project?

If yes, provide project number and brief description of project.

Attachment 1.
AFV Refueling Infrastructure Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Non-Federal Cost Share Committed: \$

Amount of cost share in cash: \$

Non-Federal cost share partner:

Fuel(s):

New or Addition to Existing Station:

Estimated Annual Fuel Sales:

Shared Fleet Access:

Public Access:

Is project tied to AFV Incremental Cost project?

If yes, provide project number, number of AFVs, brief description of project.

Attachment 1.
Clean Cities School Bus Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Fuel Type(s):

Non-Federal Cost Share Committed for vehicles, if any:

Non-Federal Cost Share Committed for infrastructure:

Number of Heavy-Duty School Buses:

New or Addition to Existing Fleet:

Estimated Annual Petroleum Displacement:

Per vehicle:

Per project:

Attachment 1.
Clean Cities Coalition Support Application Cover Sheet

Applicant/State:

Coalition Name:

Year Designated:

City, State:

Coordinator:

Coordinator Employer:

Amount Requested:

Non-Federal Cost Share Committed: \$

Amount of cost share in cash: \$

Non-Federal cost share partner:

Hours coordinator spends on Clean Cities weekly:

Years current coordinator has held the position:

Was the coordinator position vacant for a portion of 2004?

If yes, please explain

Did the coalition receive a coalition support grant in 2004?

Did the coalition receive a coalition support grant in 2003?

Did the coordinator or a coalition representative
Attend the 10th National Clean Cities Conference
in Fort Lauderdale?

If no, please explain

___ Coordinator ___ Representative

Did the coordinator or a coalition representative
attend the 2004 regional peer review meeting?

If no, please explain

___ Coordinator ___ Representative

Did the coordinator or a coalition representative
attend Washington Day in February 2004?

If no, please explain

___ Coordinator ___ Representative

Attachment 1.
Clean Cities Idle Reduction Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Non-Federal Cost Share Committed:

Idle Reduction Technology to be used:

Number of Heavy-Duty Vehicles or School Buses Impacted:

Estimated Annual Petroleum Displacement:

Per vehicle:

Per total project:

Attachment 1.
Incremental Cost of Heavy-Duty HEVs Application Cover Sheet

Applicant/State:

Sub-grantee:

Supporting Coalition Name:

Project Total: \$

Amount Requested: \$

Non-Federal Cost Share Committed, if any:

Number of Heavy-Duty HEVs:

New or Addition to Existing Fleet:

Estimated Annual Petroleum Displacement:

Per vehicle:

Per project:

**APPENDIX E – SPECIAL PROJECTS CONFERENCE/WORKSHOP PROJECT
INFORMATION FORM**

Suggested Special Projects Information Form
Name of Energy Office:
Application Identification Number:
Suggested Title of Conference/Workshop:
Proposed Date(s):
Proposed Location:
Projected Attendance:
Intended Audience Type(s):
Non-DOE Co-Sponsors (if known):
Projected Total Conference Costs: DOE Costs: Invitational Travel Costs (if applicable): Project Cost Share (if known):

APPENDIX D – MODEL COMMITMENT LETTER

(To be provided on contributor's letterhead)

Date

TO:

State Agency

State Agency address

The purpose of this letter is to confirm [*company name*] commitment to the [*title of project*] if selected for participation in an award from the Department of Energy. As shown in the application, we are proposing [\$_____ cash contribution] and/or [\$_____ in-kind contribution] to support the project.

[Insert any additional narrative that may be necessary to further explain the value, nature and other qualitative measures of the participant's cost share]

I hereby represent that the above information is true and correct, and my proposed cost sharing contribution meets all of the requirements of 10 CFR 600.224 and specifically complies with the criteria set forth in Section III, Provision C COST SHARING of the Master Funding Opportunity Announcement.

Signature

//TYPED NAME OF AUTHORIZED OFFICIAL//

Title

U.S. DEPARTMENT OF ENERGY FIELD WORK PROPOSAL

1. Work Proposal Number:	2. Revision Number:	3. Date Prepared:
4. Work Proposal Title:		5. Budget and Reporting Code:
6. Work Proposal Term: Begin _____ End _____		
7. Name: (Last, First, MI) (Phone Number) DOE Program Manager		8. DOE Organization:
9. DOE Field Element Work Proposal Reviewer:		10. DOE Field Element:
11. Contractor Work Proposal Manager:		12. Contractor Name:
13. Proposal Description (Approach, Anticipated Benefit in 200 Words or Less):		
14. Contractor Work Proposal Manager:		15. DOE Field Element Official:
<div style="display: flex; justify-content: space-between;"><div>_____ (Signature)</div><div>_____ (Date)</div></div>		<div style="display: flex; justify-content: space-between;"><div>_____ (Signature)</div><div>_____ (Date)</div></div>
16. Detail Attachments: (See Attachments)		
<div style="display: flex; flex-wrap: wrap;"><div style="width: 33%;"><input type="checkbox"/> a. Facility Requirements</div><div style="width: 33%;"><input type="checkbox"/> f. Technical progress</div><div style="width: 33%;"><input type="checkbox"/> k. Deliverables</div><div style="width: 33%;"><input type="checkbox"/> b. Publications</div><div style="width: 33%;"><input type="checkbox"/> g. Future Accomplishments</div><div style="width: 33%;"><input type="checkbox"/> l. Perform measures/expectations</div><div style="width: 33%;"><input type="checkbox"/> c. Purpose</div><div style="width: 33%;"><input type="checkbox"/> h. Relationships to Other Projects</div><div style="width: 33%;"><input type="checkbox"/> m. ES&H Considerations</div><div style="width: 33%;"><input type="checkbox"/> d. Background</div><div style="width: 33%;"><input type="checkbox"/> i. NEPA Requirements</div><div style="width: 33%;"><input type="checkbox"/> n. Human/Animal Subjects</div><div style="width: 33%;"><input type="checkbox"/> e. Approach</div><div style="width: 33%;"><input type="checkbox"/> j. Milestones</div><div style="width: 33%;"><input type="checkbox"/> o. Other (Specify)</div></div>		

WORK PROPOSAL REQUIREMENTS FOR OPERATING/EQUIPMENT OBLIGATIONS AND COSTS

Contractor Name:			Work Proposal #:		Rev. No.:		Date Prepared:	
	Prior Years	BY -1	Budget Year		BY + 1	BY + 2	Total to Complete	
17. Staffing (staff years):			<u>Request</u>	<u>Authorized</u>				
a. Scientific								
b. Other Direct								
c. Total Direct								
18. Operating Expense:								
a. Total Obligations								
b. Total Costs								
19. Equipment:								
a. Equipment Obligations								
b. Equipment Costs								
20. Milestone Schedule:		<u>Proposed</u>				<u>Authorized</u>		
21. Reporting Requirements (Description):								

DOE FIELD WORK PROPOSAL INSTRUCTIONS

A. The two page DOE Field Work Proposal is optional but may be required by a program office for planning and budget formulation. It may be used as all or part of the documentation of a Work Authorization. The form may also be used by an M&O contractor to describe prospective work. The form is intended to provide an overview of the effort, including each of the tasks necessary for project completion. Proposals should be limited to a single project to allow reporting of costs, obligations, and other information.

B. Page 1 of the Form.

Item 1. Enter a unique seven character number for the proposal. The first two characters of this number are to signify the DOE organizational code used when assigning regular contract numbers, such as EM, SC, and DP. The third character is to be the letter "W." The remaining four characters will be a unique sequential number assigned by the requesting organization.

Item 2. If the initial proposal is changed, a revision is indicated by placing a number in this space, starting with the number "1" and proceeding in sequence.

Item 3. The month, day, and year on which form is prepared; for example: 10/01/99.

Item 4. A descriptive title of the work being proposed.

Item 5. The B&R Code in accordance with the B&R Classification Codes set forth on the Chief Financial Officer home page, www.cfo.doe.gov.

Item 6. The start and estimated completion date of the proposal. Use a two-numerical format for month, day, and year; for example: 10/01/99. For proposals initiated for an indefinite period of time, the completion date should be shown as "OPEN."

Item 7. When known, enter the name and phone number of the DOE Program Manager responsible for the overall program.

Item 8. The DOE HQ Office responsible for the overall program.

Item 9. When known, enter the name and phone number of the DOE Field Office individual responsible for reviewing the proposal.

Item 10. The DOE Field element responsible for the work proposal.

Item 11. When known, enter the name and phone number of the M&O contractor individual responsible for the proposal.

Item 12. Enter the name of the M&O contractor responsible for the proposal.

Item 13. A description of the proposal in 200 words or less, highlighting the purpose, approach, and anticipated benefits the proposal will provide in the program's mission.

Item 14. The signature of the contractor representative responsible for the proposal and the date are to be entered when the proposal is given to the reviewing official.

Item 15. The signature of the reviewing official and the date are to be entered when the proposal is forwarded to the Program Manager.

Item 16. Detailed attachments are to be completed if they are necessary to understand or will enhance the proposal. Any attachments accompanying the proposal should be indicated by checking the appropriate blocks. Each attachment page should include the contractor name, the proposal number, and the date prepared.

a. Facility requirements. If execution of the proposal requires the use of existing or approved facilities, briefly describe the required use and location, with associated gross square footage and impact on site utility services by fiscal year in which the proposal begins and each subsequent fiscal year during the anticipated life of the proposal. Facility needs will be reviewed in context of overall site planning and utilization and expressed in terms of space function: e.g., office, storage space, site utilities, etc.

b. Publications. List all publications pertaining to the proposal during the prior fiscal year. Provide the title or subject and planned date of publications of all topical reports over the life of the proposal. Periodic progress reports are to be listed in this section.

c. Purpose. Provide the reason(s) for the proposal and the objectives that will accomplish the stated purpose. The objective(s) should be the single highest level of measurable achievement that can serve as a criterion for measuring the success or failure of the proposal.

d. Background. Present a brief historical overview of the proposal or preview work or theories that have led to the proposal.

e. Approach. Explain the management controls and methodology that will be used to execute the proposal in all fiscal years.

f. Technical Progress. Attach the last Technical Progress Report if required by the DOE program. Also, describe the technical progress in BY-3 (the last complete fiscal year) and expected progress for BY-2, BY-1, and BY.

- g. Future Accomplishments. Describe any anticipated benefits that will accrue in the future which are attributable to the proposal.
- h. Relationship to Other Projects. Provide a description of any relationships, interrelationships or dependencies which the proposal has with other known Federally-funded projects.
- i. NEPA Considerations. In accordance with the National Environmental Policy Act of 1969, describe the long-term and short term potential impacts and effects of the work package upon the ecosystem and NEPA documentation that must be prepared.
- j. Milestones (if applicable). A detailed explanation of the milestones presented on the second page of the proposal (item 20) should be given. For basic research, the only milestone may be the submission of a yearly progress report.
- k. Deliverables. An itemized list of deliverables under the proposal excluding reports in item 21.
- l. Performance measures and expectations. A description of the performance measures described as outcomes and the expectations for achieving those measures by which the success of the proposal will be measured.
- m. ES&H Considerations. A description of the ES&H hazards arising from performance of the proposed work and mitigating actions to protect the workers, public and the environment.
- n. Human/Animal Subjects Research. Briefly describe any anticipated human subjects or animal subjects research activity that may occur as part of the proposed work.
- o. Other. Any other attachments should be specified in the space provided on the work package form.

C. Page 2 of the Form - General. Header information on this page should be filled in as it appears on page 1. The "Authorized" column is not completed unless requested by the program when funds have been authorized. The column heading designations on page 2 of the DOE Field Work Proposal Form are defined below. The relationship between the Fiscal Years (FY) for which information is being provided is illustrated in the table below. Prior Years. For proposals related to projects, information for all prior years in which work has been performed should be provided to allow total project cost and other information to be calculated. This column is optional and should only be completed when requested by the program in the program guidance.

Item 17. Designate personnel staffing in full time equivalent person-years. Enter the numbers of scientific and other direct person-years for all columns.

Item 18. Enter estimates for total obligations and total costs per year for all columns. This should include inventories.

Item 19. Enter estimates for total obligations and total costs per year for all columns for equipment directly related to the proposal.

Item 20. Enter the titles of the supporting tasks in the "Milestone Schedule" column. Each task should be followed by the total obligations in thousands of dollars in the "Proposed BY" column. The dates (MO/YR) on which the tasks are projected for start and completion should be entered in the "Proposed Schedule" columns, will be completed if requested by the Program Manager, when funds have been authorized. Based on the allocation of funds, enter the dates for the planned start and completion of the respective tasks when requested.

Item 21. Enter all reporting required for the proposed work to include a description and frequency for each report.

CALENDAR YEAR THAT DOE PREPARED BUDGET (BY)				
	2000	2001	2002	2003
BY-3	FY 1999	FY 2000	FY 2001	FY 2002
BY-2	FY 2000	FY 2001	FY 2002	FY 2003
BY-1	FY 2001	FY 2002	FY 2003	FY 2004
BY	FY 2002	FY 2003	FY 2004	FY 2005
	2001	2002	2003	2004

CALENDAR YEAR THE CONGRESS CONSIDERS BUDGET (BY)